REPORT RESUMES

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THE FOUNDATION AND THE JUNIOR COLLEGE, REPORT OF A WORKSHOP FOR JUNIOR COLLEGE INSTITUTIONAL TEAMS (NEW YORK CITY, MAY 9-11, 1965).

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REPRESENTATIVES OF JUNIOR COLLEGES AND FOUNDATIONS MET IN THIS CONFERENCE TO EXPLORE THE MEANS BY WHICH FOUNDATION SUPPORT MIGHT BE BROUGHT INTO A MORE EFFECTIVE RELATIONSHIP WITH JUNIOR COLLEGE PROGRAMS. FIVE TYPES OF FOUNDATIONS WERE DISCUSSED--(1) GENERAL RESEARCH FOUNDATIONS, (2) SPECIFIC PURPOSE OF ACTIVITY FOUNDATIONS, (3) COMMUNITY FOUNDATIONS, (4) COMPANY-SPONSORED FOUNDATIONS, AND (5) FAMILY FOUNDATIONS. THE DOCUMENT INCLUDES THE TEXTS OF 19 PAPERS, IN WHICH (1) REPRESENTATIVES OF THE FOUNDATIONS DISCUSSED GENERAL PRINCIPLES AND PRACTICES IN PHILANTHROPY, AND SUGGESTED METHODS FOR SELECTION OF PROSPECTIVE DONORS AND FOR PREPARATION OF PROPOSALS, AND (2) COLLEGE REPRESENTATIVES OUTLINED THEIR GENERAL FUND RAISING PROCEDURES AND DESCRIBED BOTH SUCCESSFUL AND UNSUCCESSFUL PROJECTS. (HH)

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A
WORKSHOP
FOR
JUNIOR COLLEGE
INSTITUTIONAL
TEAMS

The FOUNDATION and the JUNIOR COLLEGE

JC 670 783

THE FOUNDATION AND THE JUNIOR COLLEGE

A Workshop for Junior College Institutional Teams

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FOUNDATIONS: THE CURRENT VIEW

By J. Richard Taft, Director Washington Branch
The Foundation Library Center

About three weeks ago I was having lunch with several highly placed foundation officials. One was vice-president of a sizable, company-sponsored foundation which has a continuing interest in education. I asked him what he thought of the great publicity junior colleges have lately been receiving. He replied that he and the foundation were very much interested in the two-year college movement; that he thought it might answer many of our increasing educational problems, especially in certain areas of semiprofessional and technical training.

Many people hold the opinion that the leading foundations are totally myopic in education once past the perimeter of Harvard, Yale, M.I.T., and the other large universities. But I don't know. I see in The Danforth Foundation Annual Report for 1964 that the foundation expects to make junior colleges a newly expanding area of activity. I see Cuyahoga Community College in Cleveland flourishing with 6,000 students in its second year, largely because of foundation leadership and interest. I see W. K. Kellogg Foundation helping junior colleges and granting $300,000 to the City of Battle Creek for acquisition of property for Kellogg Community College. And I see many other national as well as local foundations beginning to think seriously about this expanding phenomenon that you, here tonight, represent.

There seems little doubt that your relationships with foundations will increase. This meeting itself is evidence. We, at The Foundation Library Center, who make a career of disseminating foundation information hope that your approach to the field will reflect careful, thoughtful research. And I am glad to have this opportunity tonight to offer you a current picture of the very dynamic and often confusing foundation world.

First, let me immediately make it clear that our foundation world at the center is a narrow one, narrower, at any rate, than you may think. It does not include thousands of organizations which simply take the foundation name. We have virtually no data on organizations such as the Multiple Sclerosis Foundation or the Cancer Research Foundation because so much of their operation revolves around fund raising. Nor do we have information on "captive" foundations which raise money for colleges, churches, and other organizations.

What is a foundation to us? It is a "nongovernmental, nonprofit organization having a principal fund of its own, managed by its own trustees or directors, and established to maintain or aid social, educational, charitable, religious, or other activities serving the common welfare."[1] The key phrase in this definition is, "having a principal fund of its own." Most foundations in our world, in contrast to those we exclude, have been endowed through bequest or gift by a donor, or occasionally donors, and make grants from income, capital, or both without the need to look further beyond the original donor, donors, or their families.

There are currently about 15,000 of these charitable foundations--and these are the ones with which you are principally concerned. About twenty-three new ones are born each week, about 1,200 each year. These 15,000 have assets at market value of about $15 billion and, to the best of our knowledge, are spending at the rate of about $800 million per year on activities sweeping across virtually every facet of human imagination.

The breadth of activity is perhaps more impressive than the actual dollar figures. Fifteen billion dollars of assets and $800 million in expenditures is a good deal of money but by no means fantastic in this era; and by no means a reflection of the fabulous reputation for wealth and power foundations seem somehow to have acquired. Actually, $15 billion is under 3 per cent of our current national wealth. The $800 million spent annually is just a bit more than 1 per cent of governmental spending of $70 billion for similar purposes and less than a single year's profits for some of our larger corporations. Foundation giving represents just 8 per cent of total annual philanthropic giving for private purposes.

Many people who visit our offices are surprised to learn that roughly 14,000 of the 15,000 foundations are quite small by most standards, with assets of less than $1 million. In fact, when the center prepared its Foundation Directory II for 1964, it could find only 6,007 foundations which had assets of over $100,000 or made grants of over $10,000 a year. This does not mean that the other 9,000 on which we have records are not worth your interest and research. This is an unusual field and unusual things happen; assets, past records, even charters are not always a true measure of what a foundation may do in a given year. I am merely trying to point out the limitations on size which one finds when exploring the entire foundation world.

Among the 6,007 foundations which we listed in our Directory II only 176 can be termed "truly large," their assets being over $10 million. These include many of the famous names you all know: The Ford Foundation, whose assets are now over $4 billion and whose commitments last year were roughly $250 million; The Duke Endowment, whose latest reported assets were $596 million and grants $11 million; The Rockefeller Foundation with assets at roughly $862 million and commitments at $40 million annually; The John A. Hartford Foundation, with $397 million in assets and grants at roughly $12 million; and so on to Carnegie, Sloan, Danforth, etc. We estimate that the 176 large foundations have some 76 per cent of the field's assets and make grants of about $436 million, 56 per cent of the total grants.

About 847 foundations are of intermediate size, with assets ranging from $1 million to $10 million. These foundations appear to possess about 16 per cent of all foundation assets and are making grants annually of about $165 million, roughly 21 per cent of all grants.

The rest of the foundations which were sufficiently large to be included in The Foundation Directory--about 5,000 in all--are classed as "small," with assets of less than $1 million. Nevertheless, these small foundations, though having only 8 per cent of the assets, make grants at the annual rate of about $179 million, or above 23 per cent of the $800 million total. As I said before, assets are not always a true measure of grants potential. Many of these small foundations are merely legal funnels through which a donor or company channels philanthropic giving; and not infrequently a year's grants considerably exceed the assets of such a conduit foundation.

Before going on, let me quickly summarize what I have said to this point so that you get a clear fix on the foundation world:

1. Fifteen thousand of our type foundation which excludes fund raisers and "captive" organizations which merely call themselves foundations.

2. Assets of roughly $15 billion and grants of $800 million, which when compared to government spending or other sectors of philanthropy are not truly awesome.

3. Only 176 large foundations, making 56 per cent of all grants; 847 medium-size foundations making 21 per cent of grants; and about 5,000 small foundations making 23 per cent of grants.

4. And about 9,000 other foundations which did not qualify for our Directory but which are on record in our libraries. These foundations, despite having a negligent slice of foundation assets, may nevertheless be important in your research.

Now, if there are no questions at this point, let's go on to consider what foundations are actually like. This may very well be the key to whether you approach one, how you approach one, and what you can expect, having approached one. Clearly, the foundation field is highly diverse. But there are certain characteristics which permit a grouping into five broad classifications.

A. The first of these is the general research foundation. Included in this classification are most of the 176 large foundations. Generally, they have charters sufficiently broad to permit activities spanning across health, welfare, education, arts, or any other area of human endeavor. Most large foundations do reach across many areas of interest. But over the years some have narrowed down their focuses considerably. The Commonwealth Fund, a sizable general research foundation, is today primarily interested in the promotion of health. The John A. Hartford Foundation, one of the largest, was chartered for broad purposes but today emphasizes medical research.

Occasionally the general research foundations are also called "national foundations." One might engage in a bit of semantic controversy here because some of these large foundations limit their activities to the state or local communities and are not national at all in the geographical sense of the word. But even these geographically narrow general research foundations are national in the sense that the projects they support often have far-reaching significance. General research foundations set standards and seek answers useful to all communities. They exemplify the seed-money or venture capital principle of philanthropy--that is, money given not for palliative purposes...not for the care of a person stricken with a disease...but for research to prevent that disease on a broad scale.

Why do I emphasize these qualities so heavily? Because they mean much insofar as you and your institutions will relate to the larger foundations. It means that here you are less likely to receive a grant to erect a new language building than if you propose an unusually promising new idea for teaching languages in a more efficient way. It means you must tax your brains for creative ideas, ideas which are occasionally so "far-out" and imaginative so as to find little support from government or the general public.

More often than not you will find in these general research foundations some professional staff. It may be only one experienced person or it may be five, ten, or fifteen. Ford's staff-which runs into the hundreds--is obviously untypical. These staff people sort thousands of applications for promising possibilities. The proportion of requests to actual grants made is in some cases nothing short of fantastic. Mimeographed proposals or materials with the mass circular look are quickly discarded. Other serious and perhaps important proposals which are not within the foundation's range of interests generally receive a polite but firm letter of rejection. Eventually the staff narrows down proposals to those which fit the foundation's particular interests, and the serious work of analysis, consultation, visits to institutions begins.

B. Some foundations do not have broad charters like the general research foundations. Instead a specific purpose or activity is designated by will or in a trust instrument; and the foundation then sticks close to this purpose. These organizations we call special-purpose foundations. You are all probably quite familiar with at least one of these: The Carnegie Foundation for the Advancement of Teaching, set up by Andrew Carnegie in 1905 to provide retirement allowances for teachers of universities and colleges, and to generally encourage an uplifting of the teaching profession. Today there are some sizable special-purpose foundations: The Robert A. Welch Foundation established for research in chemistry; the Solomon R. Guggenheim Foundation whose sole interest is art; and many others.

There is occasionally some humor connected with special-purpose foundations when a purpose seems overly narrow or outdated. One foundation in Illinois devotes itself to the preservation of the prairie chicken. Another provides Christmas dinners for horses. A classic example of an outmoded special-purpose foundation was the so-called "Covered Wagon Fund" which was established in St. Louis in 1851 "to furnish relief to all poor emigrants and travelers coming to St. Louis on their way, bona fide, to settle in the West." Eventually this fund ran out of emigrant customers and was transferred by the courts to the general purposes of travelers' aid in St. Louis.[2] In all, we count some 479 of these narrow-interest foundations.

C. Another classification of foundations, restricted more in the geographical pattern of their giving than in fields of interest, is the community foundation. Such foundations are usually set up as trusts rather than corporations and function under community control for the social welfare. Most take the community name and limit their giving to the community area; although some do go beyond these bounds. A community foundation generally is comprised of many trusts established by various donors. These trusts are sometimes created for specific purposes; sometimes to be used at the discretion of the foundation. Local banks and trust companies generally administer the foundation's principal while a distribution committee comprised of citizens with knowledge of local charitable needs decides on grants. There are about 186 active community foundations with assets of about $520 million. Among the larger ones are the Cleveland Foundation, Committee of the Permanent Charity Fund of Boston, the New York Community Trust, and the Chicago Community Trust. Most are concentrated in the eastern regions.

D. The fourth category of foundations is the company-sponsored foundations. Such foundations are separate, tax-exempt, nonprofit entities, generally run by boards consisting of officers of the company. There are about 1,716 company-sponsored foundations and as might be expected they are concentrated heavily in the industrial states--New York, Illinois, Ohio, Michigan, California, etc.

There was a great proliferation during the years of the Korean crisis when the excess-profits tax law was revived, raising the combined tax rate for affected corporations as high as 82 per cent.

Most company-sponsored foundations are rather slim on the asset side, principally because they serve as conduits for company giving. This is reflected in the fact that such foundations represent 28 per cent of the listings in The Foundation Directory but hold just 8 per cent of total assets. Some company foundations, however, have managed to increase their corpus sufficiently to operate principally from income as opposed to company gifts. Only recently the Standard Oil Company of Indiana noted in a house magazine that three of its company-sponsored foundations--American Oil Foundation, Pan American Petroleum Foundation, and Standard Oil Foundation--were operating principally from income.

Many other company-sponsored foundations--instead of depending on corporate contributions from year to year--accumulate sufficient funds to permit a smooth giving pattern over a period of years. This is one of the key advantages that prompts many companies to form such foundations--the fact that its philanthropic activity will be less dependent on economic conditions and more responsive to current needs if grants are not based on the annual profit picture. Another advantage is the freeing of busy executives, who should be concerned with business, from the demands of active fund seekers. Philanthropy can be more professional, less rushed.

As might be thought, most company-sponsored foundations--like companies without foundations--channel their grants principally to areas where manufacturing and marketing interests are concerned.

E. Family foundations are the last category and they are the most numerous. Well over 3,000 of the 6,000 foundations listed in Foundation Directory II fall into this category. And most of the 9,000 foundations not large enough for the Directory are in this class as well. Most family foundations are established by living persons, serve as the channel for that individual or individual's family charity, and reflect the donor's particular philanthropic interests. Again, because of this conduit function, most family foundations show rather slim assets but may have considerable giving potential. Most recent records show that with only 16 per cent of assets, family foundations managed to make 22 per cent of total grants.

Some family foundations naturally grow to be quite large through continued gifts or the bequest of a donor. One has assets close to $150 million. And occasionally when such a large family foundation begins to outgrow the position of being merely the charitable funnel for a donor and expands its interests sharply, it becomes one of that small group of general research foundations; in fact, sometimes the line between the two classifications is so slim as to be barely discernible. The Ford Foundation essentially started out in 1936 as a tiny family foundation with a $25,000 grant from Henry Ford.

A word might be said about the management of family foundations since they are so numerous. You will not infrequently be frustrated by the lack of professionalism among these thousands of small foundations. Few have professional staff. Many have no phones and do not enjoy being solicited by mail since the donor's charitable activities are generally quite limited to a local church, his own college, or other personal interest. Many of these foundations complain bitterly that we intrude upon their privacy by listing them in the Foundation Directory. The office address is generally the donor's place of business, or his accountant or lawyer's office--busy people with little time to be bothered interviewing college development officers. Yet these are tax-exempt organizations with some public responsibility and you need not feel intimidated. But, quite clearly, you must be selective.

And this brings us to what foundations give to and how they give. Last year, tracking as many grants over $10,000 through our communications network (these are listed in Foundation News) as possible, we found that the field of education received about $186 million, or 33 per cent of the grants. Health, helped by an unusual grant of $50 million from the M.S. Hershey Foundation for a medical school in Pennsylvania, was second with $129 million. International activities received $74 million, sciences $58 million, welfare $44 million, humanities $39 million, and religion $26 million. It might interest you to know how the $186 million in grants for education were divided.

Adult education received some $1.7 million or 1 per cent of the total; aid to teachers, $4.6 million or 3 per cent; buildings and equipment received $37 million or 20 per cent; educational associations received $8 million or 4 per cent; educational research received $7.5 million or 4 per cent; elementary and secondary schools received $13 million or 7 per cent; endowment received $12.5 million or 7 per cent; fellowships received $5.9 million or 3 per cent; higher education received $70 million or 38 per cent; libraries received $15 million or 8 per cent; publishing and broadcasting received $2.3 million or 1 per cent; scholarships and loans received $5 million or 3 per cent; and vocational training received $1.4 million or 1 per cent.

Now how was this money given and why? As already indicated, foundations have diverse interests and operate in vastly different fashion. But it can safely be said that any which show the slightest degree of professionalism prefer to be approached in a fairly systematic way. Most foundation executives do not like fund raisers to just "pop in" to chat. Some will offer an invitation after a telephone call. But foundation executives, in general, seem to prefer a simple, short letter of introduction which outlines the particular project in mind as succinctly as possible; not elaborate brochures with gold embossing. Some foundation people say that if you can't explain even the most complex project in two or three pages, then you aren't thinking clearly about it.

Several foundations have offered sample outlines to follow, the details of which may be fairly interesting to study. One outline requests the following information:

1. Name and address of tax-exempt organization which will be the recipient if a grant is made.

2. Relationship of individual signing the application to the applicant organization.

3. Amount asked and specific purpose.

4. Significance - that is, what the grant is expected to accomplish.

5. The need or problem, including the background.

6. The proposed solution and method of approach to the problem. (In the case of scientific research, the hypothesis.)

7. Use to which the findings will be put, including plans to publish or publicize results.

8. Relationship of this proposal to the foundation's program as discernible in its recent published reports.

9. Endorsement of request by qualified individuals.

10. A detailed budget showing how the requested grant would be spent.

11. Length of time for which the foundation's aid will be needed. Include a schedule indicating most desirable time to start and terminate grant.

12. If staff is to be increased to carry out this project, what qualifications will be required and what evidence is there such staff is available?

13. Concise presentation of the essential facts. Usually a two- or three-page summary is adequate. A long memorandum and exhibits may accompany the summary if the applicant thinks these will strengthen his case. (A concise and forceful statement of the facts has more persuasive value than the format of the presentation.)

14. A copy of the ruling from the U.S. Treasury granting federal tax exemption.

15. If applicant organization has been active for a period of years, it would be well to provide a supplemental memorandum, indicating in brief, the organization's accomplishments to date, the nature and extent of current and earlier support as well as the record of balances or deficits of past years.

Above all, the keynote for your foundation approval is selectivity based on careful research. There is little point in taking a proposal for a new dormitory to a foundation which has been making all its grants for welfare. To help you in your selectivity we have at the Foundation Library Center the tax forms of most American foundations. These are called Form 990-A and are copied on a continuing basis by our Washington office. Recently, Internal Revenue began requiring foundations to attach to these 990-A's complete lists of their grants for the year of record. Some of the larger foundations have for many years been listing their grants in annual or occasional reports. But the new 990-A ruling now makes it possible for you to assess the grants patterns for even the smaller foundations.

We have complete sets of these 990-A's in New York and Washington. Elsewhere around the country we have cooperated with certain libraries to build small depositories of foundation information; and these libraries are now also receiving 990-A's for certain key neighboring states. Such libraries are in Berkeley, Los Angeles, Atlanta, Chicago, Kansas City, Cleveland, and Austin.

In addition to 990-A's, we have in our New York and Washington libraries the reports of foundations, news clippings gathered from the entire nation by a special clipping service, current books and pamphlets relating to foundations and philanthropy, and much other valuable data. In New York we have historical collections as well for those of you who may have some scholarly interest in the foundation field.

I believe sincerely that too many college officials are neglecting the sort of careful study of these 990-A's that should proceed any approach to the foundation field. There is too much hasty jotting down of a name, an address...too much quick scanning on the run so that a development officer or college president has a name in his pocket of someone to see if he happens to be in New York or Chicago.

There is no reason why virtually every institution which sincerely needs and wants a productive relationship with foundations cannot be thorough and professional about it. Such a foundation program might include two or three trips to the center's library each year, with a careful sifting and analysis of the foundations which may be interested in the institution's particular needs. It would mean thoroughly reading Foundation News, the center's bimonthly publication. It might mean occasional meetings with department heads to discuss their interests and how they might relate to foundations. It would mean the elimination of mass mailings and appeals and the careful analysis of how to prepare a foundation proposal. It would mean the end of "pop in" visits.

None of these many suggestions will guarantee your success with foundations. But they would be a step in the right direction.

1. Andrews, F. Emerson. Philanthropic Foundations, p. 11

2. Ibid, p. 25

THE IMPERATIVES OF PHILANTHROPY

By Francis C. Pray, Chairman of the Board
Frantzreb and Pray Associates, Inc.

I should like to suggest some general imperatives which obtain in the whole field of philanthropy and which might profitably be kept in mind in approaching the field of foundation relations.

Ed Gleazer said "start with the whole field and zero in on specifics."

Other speakers will discuss techniques, case preparations, research, the history of foundation giving, and the special needs and attitudes of individual foundations. In these few minutes this morning, however, I should like to try to suggest an attitude, a perspective, and a generalized theory of approach to the field of philanthropy.

Perhaps we should begin by facing the fact that junior colleges, by and large, have a poor record in the field of foundation support. Whether this is a function of lack of enterprise by the junior college or lack of interest by the foundations will be tested in the coming months. It is probably a combination of both.

Every two years the Council for Financial Aid to Education invites all colleges and universities in the country to submit their gift records. In the latest survey, 1962-63, the C.F.A.E. showed that of all institutions reporting foundation support the junior colleges with 20 per cent of the total enrollment got 1.1 per cent of the total foundation support.

Of the 149 junior colleges responding, only two public colleges and two private colleges received foundation grants of $100,000 or over. Four public colleges and fourteen private colleges got foundation grants of $10,000 or over, and sixteen public colleges and eighteen private colleges got foundation grants in the area of $1,000 to $10,000. This year I doubt that the reward will be much better.

This is not a very inspiring record of accomplishment. You are entering the field late, with some disadvantage because of lack of experience. I presume, however, that you have some enthusiasm for the potentialities of the future or you wouldn't be here.

There is some reason for very cautious optimism. But before we give in to happy euphoria I suggest we look at this problem pretty realistically, soberly, and objectively.

First of all, we ought to take a hard look at philanthropy itself. It is very confusing indeed. We live in a crazy world. We spend $6 billion for Christmas presents, and then we spend $200 million for string and fancy wrapping paper to tie them up in. But we are having trouble raising $1.5 billion in gifts to higher education. And total direct corporate aid, for instance, to higher education just barely exceeds our paper and string money.

Why are we having so much trouble when we are in the greatest bull market higher education has ever known? The problem is, I think, that we have been approaching the problem like shaking a tree. We're getting what is ready to fall into our laps. Our generalized techniques and mail order campaigns are already getting a high percentage of readily available money from people we really don't have to sell on giving.

Things are going to get more difficult. The competition for philanthropic dollars will become more intense. The advent of several hundred junior colleges gearing up to seek philanthropy, added to the increasingly effective attempts of the four-year colleges, will not make life easier. You are getting into a race where many of the others are several laps ahead. This conference will point you in the right direction. You'll have to supply your own muscle.

Before you rush out to raise your share of the two or three billion dollars colleges need each year from voluntary support, I suggest we examine the essential nature of the philanthropic dollar. Perhaps, to follow the title of this paper, we might call this "Imperative Number 1."

One of the surprises college presidents experience when they set out to raise money is the fact that it involves some sacrifice. The sacrifice is not all on the part of the donor.

We might begin by disabusing ourselves once and for all of the "gift concept" of voluntary support of higher education. We must reach a new appreciation of the meaning of rewards and satisfactions which are involved in a truly successful institutional advancement program.

First we have to remember that fund-raising, as we know it, operates successfully only in a society where there is a surplus; where people or corporations or organizations or foundations have money left over from the bare necessities of life, where they have before them a series of choices as to where they shall place their money in terms of the rewards and benefits it will bring to them.

Some people, and some foundation executives are not unknown in this category, get the greatest satisfaction with money when it is in the bank. (I myself confess to some fleeting satisfaction with money in the bank.) Some people of means buy yachts. A growing number find a reward in discovering for themselves the satisfactions and excitement which lie potentially in the programs of higher education. Notice I said "reward" in the satisfaction and excitement which lie in the programs of higher education.

Support of higher education is only one choice among many delightful ways of spending money. We must remember this! Philanthropy is a very competitive business.

The average American in the 80 per cent above the level of poverty, makes choices every day among a large variety of desires and wants which are above the basic needs of subsistence. The average foundation executive, likewise, has no scarcity of suggestions as to how he shall spend his time and invest his resources.

I think we can understand what we would call the philanthropic dollar much more clearly if we think of it in these competitive terms. This concept ought to remind us that in fund-raising we must give just as much as we get in terms of satisfactions and rewards to the individual. The hard law of exchange of values operates in this field as it does in any other market place.

I do not except the foundation from this generalization.

We recognize that the donor who exchanges money for his name on a building and enjoys the accompanying recognition and gratitude, is being rewarded with prestige and approval in an amount which satisfies him that the exchange is adequate. More than one foundation enjoys similar reward.

Perhaps the return in another case is merely a psychic reward. It may be spiritual. The greatest reward in philanthropy is to provide the donor a joy in fulfillment of his highest aspirations through a worthy cause.

Many gifts are made, of course, to avoid annoyance, or to avoid a gentle kind of blackmail. The major gifts, however, the gifts which involve something of the substance of the giver, if they are to be truly significant, must involve something greater, some finer appeal to the human spirit and mind than these petty motivations. But the appeal must be there.

The reward you may offer a foundation is the satisfaction of finding a worthy cause which furthers its purpose in being, not yours.

When you work up your next proposal ask yourself: What are the satisfactions you offer the foundation in its grant to you? Is the grant distinctive? Can the foundation board be proud of it? Does it enable the foundation board to discharge its duty? What do you, as a prospect, offer the foundation as opportunity, as reward?

A little thought about this general imperative in philanthropy--the principle of honest exchange of values--will be helpful before you first raise your hand to knock on a foundation door.

A second imperative in philanthropy is the old maxim that donors like to support well-organized, going concerns. The successful program for gift support does not really begin with listing of foundations which have money (not all do, you know), or with identification of wealthy individuals, or prosperous corporations.

The successful program begins much further back, both in time and effort.

Real success in attracting significant gifts is based on systematic, sound, but imaginative and progressive institutional planning. You will hear this imperative voiced again and again today and tomorrow if I know my colleagues.

Little grants may come as a result of nostalgia, pressure, habit, friendliness, or even caprice. While these same factors may motivate a few larger grants, the significant grant does not come just in response to pleas of need. A beggar on his knees, crying poverty, is not a very appealing sign to a wealthy prospect or to the executive of a well-heeled foundation.

Growth money, fortunately, and influence, fortunately, do not always, or even usually, go just to satisfy needs, no matter how stark. As a matter of fact you might just as well start out by assuming almost nobody really cares about your needs. People of the calibre that you will be looking at, identifying--leading alumni, successful business people, top churchmen, wealthy prospects, foundation directors, and executives--may be subject to particular, and peculiar, motivations. In general, however, they are competent and experienced. A contribution of their money or influence will not be had in response to an appeal to pity or because of pleading, or poverty. It won't be had on your statement of your needs, but on their evaluation of your potential and ability and the satisfaction they will get by allying themselves with you.

They will respond primarily to progressive projects, plans, and programs, and these must be exciting, aggressive, imaginative and thoroughly documented, and presented in a compelling, interesting way.

Does this imperative mean that your program must be unique to win support? No, but it does mean it should be distinctive. A college president complained bitterly to me the other day and asked what was wrong with just trying to be a good college. I had to remind him that the average boy scout is loyal, brave, and true, but only the leaders in special endeavors win the merit badges and only the outstanding leaders win the scholarships, the cups, and the trips to the White House.

There are 700-odd junior colleges. Some of them are pretty odd. Only the ones among you with hard plans for special distinction will win real support.

It is not enough just to be another good college and expect to be singled out by major foundations--or other donors--for special support.

The third imperative I should mention is the matter of institutional leadership.

Do you remember what St. Paul wrote to the Corinthians? "If the trumpet make an uncertain sound, who shall prepare himself for the battle?"

I'm afraid that one of the real problems faced by many colleges in their effort to merit significant gifts is the fact that they emit only a series of rather uncertain toots from top leadership.

I have mentioned one implication of the clear trumpet call in the previous section in pointing out that sound and creative institutional planning is a prerequisite for real success in philanthropy. (Perhaps/ indeed/ the plan is the written music for the trumpet call).

The implications in this section are even clearer, however, and tougher.

Special gifts, gifts of significance, do not come to any college whose leadership is near-sighted, faltering, tired, unimaginative, unwilling, uncommitted, pedestrian, or just plain incompetent. If you, as president, are undecided, vacillating, scared, reluctant, or unable for reasons of health or other problems, to lead the effort to create major significant support for your institution, thoughtful examination must be given to the problem of leadership at this level. As someone has said, "Many a president is maintaining his amateur status as a fund-raiser at the expense of his institution."

If your development officer lacks the energy, the knowhow, the willingness, the personality, to operate effectively in this most exciting and rewarding activity, this activity of such enormous potential for your institution, you must consider helping him shift his responsibility, or someone should shift it for him.

The biggest leadership problem also of course includes your board of trustees. If you will look at any successful development program--successful, that is, beyond the average--you will find behind it a working board of trustees, matched to the needs of the institution, and staffed by an able management team in the college administration.

An honest examination of your board of trustees, the charter under which it operates, and the writing of a prescription to create the kind of board necessary to head a major program for institutional growth in quality and attainment of its true mission is a necessity for success in the field of philanthropy.

I suspect that here is where many of you must really begin.

If the Ford Foundation grants to selected colleges and universities have taught us nothing else, they have taught us, I hope, that major sums of money go primarily to those institutions which have quality aspirations, a record of achievement, promise of growth, and a demonstrated record of forward planning.

Above all else, however, the grants were essentially challenge money based on an assessment of leadership. They were a considered bet on leadership. They came forth in response to some ringing trumpet calls.

The fourth and the final imperative I shall mention this morning--four out of many--has to do with an interesting and compelling side-effect of the search for the philanthropic dollar.

I hope that as you examine the techniques of eliciting foundation support, you will keep remembering that it falls into a larger context of total philanthropy. I have tried to suggest this larger context in my earlier remarks.

You get hard money from successful aggressive development programs. But equally important is the fact that in so doing you involve important corporate, foundation, and individual donors in the support of your college. You gather around your institution a group of important and influential men and women who begin to involve their personal interests in the welfare of your institution. Out of this group can come influential and helpful trustees. Out of this group can derive the kind of counselling on management and program which can be of invaluable assistance to a college looking toward the future. Out of this group can come the kind of devotion which the college will find a refuge and a bulwark if and as it is forced to stand upon basic principles of academic freedom and education when under attack by extremist elements from either the right or from the left.

If there were no such practice as philanthropy for higher education, we would be wise to invent it. The more the impact of support of higher education falls on diversified sources of support--the individual citizen, the corporation, the foundation, the parent, the government, the more they become aware of the values of higher education to the nation, and the better armed they are with knowledge of your needs and conviction as to your purpose when the day comes when their assistance is needed.

Voluntary support has, for many institutions, become the great third force in financing their quality aspirations.

I hope it becomes such for each of yours.

But remember, as you discuss techniques, foundation programs, and organizations for fund-raising today and tomorrow, that there are no short cuts around the imperatives of philanthropy--plan and purpose, leadership, and an honest and rewarding exchange of values.

If you don't already know it, I'll tell you that you'll work harder for each dollar of gift money than for almost any other dollar your institution will get. But if you are truly successful, and some of you will be, you will have taken a giant step toward a kind of responsiveness and quality which can be attained in no other way.

THE FOUNDATION AND THE FUTURE OF THE JUNIOR COLLEGE

By Horace B. Powell, Director of Publications
The W. K. Kellogg Foundation

It was in 1959 that the general director of the foundation voiced to our trustees his conviction that "The community junior college is the most significant educational innovation of the Twentieth Century." Praising the college-parallel programs which made higher education an achievable reality for community boys and girls who once could only dream of college, the general director had particular commendation for the emerging semiprofessional and technical education. "This dynamic community college movement," he said, "can do much to supply the subprofessionals, the technicians so necessary to the professions and industry in the years ahead. Simultaneously, it can help many worthwhile youth assume their proper places in the nation's economy. Consequently, we believe there should be as great concern for this aspect of the American scene as there is for university education."

Our trustees, business and professional men with strong ties in their local communities, particularly appreciated the community college concept of relating education to community needs whether that community be a town, a state, or a region. Subsequently, sizable appropriations (since increased) were made to aid community junior college programs.

In 1959, a grant to the American Association of Junior Colleges was for the purpose of strengthening and expanding the professional activities of its five major task-force commissions which deal with administrative, curricular, instructional, legislative, and personnel facets of the two-year college.

That same year the Foundation financed a new five-building campus for a community college in Battle Creek--the one brick-and-mortar grant it will ever make in connection with colleges.

In 1960, more that $1.5 million in grants were awarded to ten universities in California, Florida, Michigan, New York, and Texas, for training programs to improve the supply of formally qualified junior college administrators. Already this five-state program is doing much to insure strong, farsighted, and statesmanlike leadership for community junior colleges.

There followed foundation aid for several state community junior college programs to increase manpower in the health fields through dental auxiliary education and through the preparation of associate degree nurses. In addition, there has been a series of foundation grants for semiprofessional and technical education in areas such as electronic data processing, business midmanagement, personnel training, hotel and restaurant technology, civil technology, and careers in agricultural and health fields. I will discuss these latter programs in greater detail later. After six years of collaboration with the community junior college movement, the foundation has had no reason, whatever, to reverse its high opinion of the achievements and potentialities of your particular tier of higher education. Consequently, we remain willing, even eager, to consider good, imaginative, unique ideas which may be broached to us by community junior colleges.

This is a foundation relations workshop, and you are here to consider what can and should be the relationship between your kind of college and a foundation or foundations. You know many of your needs and wants, and as an imaginative person you are constantly seeking ways and means to improve the kinds and quality of your educational programs. Therefore, you want to gain firsthand information regarding foundation policies and procedures, and answers to such questions as: What does the community junior college need to do to gain foundation support? What kinds of proposals interest foundations? How do I present a good proposal? And what is the foundation's method of considering suggestions and proposals?

My task here today is to answer some of the foregoing questions and I hope my communication technique will meet the approval of the co-sponsors of this workshop, the American College Public Relations Association. Because J. Richard Taft, of the Washington Branch of the Foundation Library Center discussed foundations in general at last night's session, my remarks will largely pertain to the W. K. Kellogg Foundation, though the larger foundations resemble each other considerably in policies and operations.

Once upon a time, there was a village which had an unfortunate location, at the base of a great cliff. At the top of this cliff ran a much-used highway and all too frequently hapless car drivers fell over the cliff so that the kindly villagers were kept busy picking them up and caring for their wounds. Eventually, the village fathers had an inspiration. They voted funds to buy an ambulance so that accident victims could be quickly conveyed to a city hospital several miles away. The councilmen came out of the town meeting very proud of their solution to the problem; proud, that is, until one of the whittlers on a nearby park bench said to them: "Why not just build a fence between the highway and the drop-off?"

This homely story illustrates the fact that foundations are ever on the look-out for men and organizations who have imaginative and practical ideas to help their communities. But let me stress the fact that ideas, to be of interest to foundations, must be imaginative, relatively unique, pioneering, and experimental. The W. K. Kellogg Foundation, and most other foundations, will turn a deaf ear to pleas for aid to routine, operational phases of established programs. Your proposal for a really imaginative and potentially far-reaching curriculum innovation, for instance, will have a thousand times more chances for Kellogg Foundation approval than would a suggestion for help in constructing a building or a laboratory. We want to aid the kind of pilot program which may open up new vistas for hundreds of institutions or thousands of people.

Draw up a blueprint for a prototype program and then demonstrate that it has real possibilities for wide-reaching expansion or replication in many communities or institutions: the foundation may or may not help you in the try-out stages at the local level but its aid is probable for the demonstration and expansion of the program. Similarly, if you propose a pioneering, experimental idea for the application of knowledge, you are in the groove with the Kellogg Foundation, for we believe there is room on the American scene for a foundation to concentrate on the application of knowledge and we seldom aid programs of research per se (though other foundations do). The nearest we come to helping research is through assistance to educational experimentation or for action studies needed to implement an action program we are already assisting... On the negative side, we do not directly grant fellowships to United States students, we do not provide endowments, and we do not assist conferences, publications, or films unless they are directly associated with a project the foundation is already aiding. The small booklet which you found in front of you this morning may be helpful in ascertaining one Foundation's "Dos" and "Don'ts"

Now back to the foundation's attitudes toward helping the community junior college. We have a philosophy that the foundation itself does not have problems or programs--that people, agencies, institutions, communities, have problems to solve and ideas to develop, and we are willing to give special consideration to outstanding proposals to solve significant problems. We do not advocate particular theories or doctrines with regard to community junior colleges. We have no format for the development of the movement; we have nothing to sell. On the other hand, we are willing to support good community junior college ideas which are proposed to us. Incidentally, once we make a grant, the recipient has complete autonomy... we ask nothing from the program except an annual report of the progress made.

From time to time the foundation identifies certain areas of particular interest to it. In the educational field (and you should know that we also make grants in agriculture, dentistry, hospitals, medicine and public health, and nursing) we supported the Cooperative Program in Education starting some fifteen years ago. This was nationwide in scope, involving some 150 institutions and the supplying of preservice and inservice education to public school administrators. We think it helped supply superior leadership to the public schools, but after the incubation period, we wrote "The End" to our support.

Similarly, we supported Continuing Education and helped create large centers at Michigan State University, the Universities of Chicago, Georgia, Nebraska, Oklahoma, and at Oxford University in England. After that incubation period, 1951 to 1963, we thought we had aided all the demonstrations necessary in that particular field, for similar centers were springing up independently all over the nation. Consequently, we were on the point of refusing to make any more Continuing Education grants when a proposal recently came in from New England to build a regional Continuing Education Center at Durham, New Hampshire, to service all the New England states. I think our agreement to aid the establishment of this regional center illustrates that while, ordinarily we regard two, three, or five years of aid as ample help to a program or a multi-institutional movement, we are elastic enough to reverse our field when there is real reason and argument to do so.

Some of you are familiar with the associate degree programs in nursing being carried on now in almost 150 community junior colleges, though a number of these programs are not aided by us. However, the associate degree program--which can greatly mitigate the shortage of nurses in many communities--was greatly accelerated by more than $2 million of foundation aid in the states of California, Florida, New York, and Texas, and more recently in Illinois, Michigan, and Kentucky. We are at the point where we think there have been enough demonstrations of the potentialities of the associate degree program. From here on many community junior colleges will incorporate the idea without help from us. However, as in any developing movement, particular problems showed up. One of these has to do with the inadequate number of well-trained teachers for A.D.N. programs. We'll likely not make many more grants for overall A.D.N. programs, but we are aiding at Purdue University workshops to develop associate degree faculty and probably will continue to help such special teacher-training endeavors, for good teachers are the heart of associate degree nursing as in any other movement.

Incidentally, while I am in New York, I will talk to publishers about a book on associate degree nursing which will be issued by the foundation next November. This book, title "Nursing Education in Community Junior Colleges" is not only a history of the movement as aided by the foundation but is practically a blueprint on "how to establish a nursing education program in a community junior college." Copies will be sent gratis to every junior college in the country.

We've been happy over collaboration with community junior colleges in mitigating the shortage of nurses. We've similarly been gratified by the results from other semiprofessional and technical education programs in which we have played a helpful role. In agriculture, for instance, we believe there were few, if any, technical junior college programs until the agri-chemical program, supplying fertilizer technicians for a region, at Sterling, Colorado, Junior College, and the Ornamental Horticulture program at Fort Lauderdale is also unique. Certainly I don't believe there was any fisheries technician program until the foundation assisted one at the Peninsula College at Port Angeles, Washington.

In dentistry, the foundation has provided support for dental hygiene programs in four junior colleges in Florida and Maine, and these programs subsequently have expanded to California, Illionois, Michigan, etc. These represent just one of several collaborations between the foundation and community junior colleges in the health manpower field.

While the foundation will continue to consider imaginative, pioneering ideas for single-discipline, semiprofessional, technical education projects in one institution, of even greater interest would be comprehensive national programs involving multidisciplinary projects, or programs at the state level to provide for teacher training and curriculum experimentation including new procedures in teaching and learning, or the establishment in several institutions of basic programs for the training of one or more types of technical personnel.

Someone once said: "A foundation is a body of money entirely surrounded by people who want some of it." If I had an idea I wanted to develop through foundation aid, be that as it may, I believe I'd do these things:

(1) I would study the annual reports of the various foundations to be sure they and I were in the same ballpark; (2) I would be sure my project was relatively unique with a promise of demonstration and spread to other centers; (3) I would see, telephone, or write the educational director of the particular foundation, and eventually compose a very comprehensive two-or three-page letter describing my idea. (4) Then if the idea were being advanced to the W. K. Kellogg Foundation, this letter would be reviewed by the divisional director who would possibly make a site visit and/or ask you to develop a full-fledged proposal; When this proposal came to the divisional director, he would consult with the foundation's general director and associate director (a Divisional Advisory Committee made up of eminent educators gives general guidance); Then if you were wise and lucky (the foundation receives 1,500 proposals a year and accepts 5 per cent to 10 per cent of them) and if staff favorably recommended your project to the board of trustees, they would make a financial appropriation to cover the grant.

There is no way a foundation grant can produce results in institutions or communities unless the leadership comes from within that institution or community. But where that leadership does exist, then the collaboration of a program and a foundation can truly witness the imaginative and wise use of small sums to create fine results.

FOUNDATION SUPPORT---RESEARCH AND LEGWORK

By W. R. Brossman, Vice-President
Colorado College

If I have a thesis this morning it is simply that too many institutions of higher education are letting their foundation chances go by default. For one reason or other they hesitate to make any kind of organized effort to attract foundation support. Their chances of success may seem too remote; the annual fund or the capital campaign or legislative matters may be engaging all their energies; or something else. Meantime the great surge of educational experiment and innovation rolls on and they are foreclosing themselves from the possiblity of grants which can make a real difference on their campuses.

The universities are old hands at the foundation business. The liberal arts colleges--at least some of them--are coming along. Even the women's colleges and the independent preparatory schools are making gains in the foundation area. Perhaps it is time for the junior colleges to take a hand.

The fact that you are here is an omen for the good, yet I am sure a great many of you are wondering just what chance the junior college or community college can have in competition with the great universities, the long-established liberal arts colleges or the tradition-filled preparatory schools. I am reminded of Sammy Davis, Jr., the Negro star of "Golden Boy." Davis is a convert to the Jewish faith. An automobile accident cost him an eye. A friend was complaining about something and Davis retorted: "You think you have problems! How would you like to be a one-eyed Jewish Negro?" Sammy Davis is getting along, and so I think you can.

Perhaps our experience at Colorado College will give you some encouragement. We are a rather conventional liberal arts college, situated in a remote part of the country. We have a very modest development office--at the moment consisting only of myself and a secretary--and we do the usual things of annual fund, capital campaigning, bequest and life-income arrangements, memorial funds, and the rest. Yet we have been averaging more than $1 million a year in foundation grants for the past ten years, including thirty grants of $10,000 or up from eighteen different foundations across the country. There isn't any particular magic about this. We simply decided to make foundations a priority matter; I think you can too.

Well, how to get started? I am assuming for each of you the rudiments of a development office staffed by someone whose chief concern is to see to it that a continuing program of fund raising is carried through. If you are going to "do something about foundations," your man is going to have to reconcile himself to a period of hard and dull preparatory work, and he will do it himself if he immerses himself in the task and doesn't try to do a little bit here and there, between telephone interruptions.

If you can afford it, a veteran of foundation relations might come in for a few days to help get you launched. Some of the fund-raising counseling firms are in position to offer this service, and there are also a few independent counselors at your disposal. A part-time person, perhaps a faculty wife, might be a major help in organizing the files and doing the routines.

First will come the assembling of a sort of foundation library. Initial items would not have to include much more than The Foundation Directory, the current reports of a selected group of foundations, and a key book or two, such as Fund-Raising for the Private School: the Foundation Approach (which is more than the title implies) or Understanding Foundation Support for Higher Education, published by the American College Public Relations Association and available, if it is still out of print, through that association's lending library service.

Once you have your foundation library, you will begin the work of building your own foundation files, tailored, of course, to your own type of institution, your special programs, your geographical location and such. The indispensable "must" in this phase of your program is a cover-to-cover reading of The Foundation Directory. (Your alumni secretary or an old hand on campus can go through the index at the back which lists all the officers and directors of the foundations which are cited in the book. The objective is obvious, to find the names of alumni and other friends of your institution who might be able to help with foundation contacts or at least to give advice on how to make an approach.)

You won't find junior colleges or community colleges mentioned in the general index, but the general index isn't too helpful anyway. There is no escape from starting with Alabama and plodding your bleary-eyed way through to Wyoming. Along the way you will acquaint yourself with the objectives of the major foundations such as Ford and Carnegie, but more important you will find yourself discovering the foundation resources of your state and region and, occasionally, an item of particular relevance to a special program of your own. A foundation with an unrevealing name will note that its funds come from such and such a company, and it happens that you have one of the company's major installations in your community. That is certainly one to write down. Another foundation, say in California, will indicate an interest in institutions in the State of Nebraska. And so it goes.

A card file could do for a starter but sooner or later you will want some folders in which to assemble the varied items of information that will begin to pile up as you get into the work. It is a good idea to keep things simple and inexpensive. We use discarded file folders donated by a local utility company.

The foundations of your own state and region will bear the most careful study, of course, and you will want to spend attention too on the section dealing with the foundations of New York. It is one of the facts of life--the Kellogg Foundation and Danforth and Hill and a few others to the contrary--that the great center of innovative foundations remains New York City.

All this should produce a beginning list of foundations for you. How do you find out more about them? There are all kinds of sources, some of them the routine ones which a development office employs in compiling any sort of major gift list.

1. The Foundation News, presenting a series of articles each time on foundation topics, but, more important, listing major grants of the foundations by categories. Education grants are treated fully in the grants lists of the May and November issues but you cannot afford to neglect the other issues which treat such overlapping areas as the humanities, international activities, and the sciences.

2. The Foundation Library Center, here in New York, or one of its satellite centers in Washington, D. C., Berkeley, Los Angeles, Atlanta, Chicago, Kansas City, Cleveland, and Austin. Here are foundations reports and generous files of news clippings, income tax information returns and other information on the individual foundations. They are glad to have you use their resources and ask only, in good library fashion, that you not attempt to refile the material yourself after you are through with it. The Library Center is the most complete of these and it would pay you to visit there yourself. Failing that, an alert alumnus can do the appropriate checking for you. We have found that an alumnus with newspaper training can do an excellent job of summarizing the files for us.

3. The New York Times. As the newspaper of record, the Times is especially faithful in its coverage of foundations news.

4. The Bulletin of the American Association of Fund-Raising Counsel and the Philanthropic Digest published by John Price Jones, both giving space in every issue to current foundation grants.

5. The Treasury Department's Cumulative List of exempt organizations, with its supplements. A new edition of the Cumulative List is to appear shortly (the latest is the one through December 31, 1962) but the supplements carry right down to date. These supplements are valuable in offering the latest information on new foundations which have gone into operation. The supplement for January-February 1965 alone lists almost 1,000 new exempt organizations. Not all of these are foundations and many will be of interest only as whimsy, such as "Our Little Saints Kindergarten" of Gary, Indiana, but here and there you will find useful information. For instance, the new emergence of the American Airlines Foundation, the Fostoria Glass Company Foundation, and the Stauffer Chemical Company Foundation, are all mentioned in the one supplement. This is to say nothing of the family foundations which continue to develop at an uncommon rate. These listings give only the name of the foundation and its headquarters city, but this is something from which to start.

6. The district office of the collector of internal revenue, which files the annual information returns submitted by the foundations in its territory. The office will let you examine specific returns upon request.

7. Aid to Education Programs of Some Leading Business Firms, published by the Council for Financial Aid to Education is a series of profiles of the giving practices of these firms, including information on company foundations where it applies.

8. Fund-Raising Technique for Colleges and Universities, a Symposium, published by the American Association of Fund-Raising Counsel has an informative chapter on foundations by J. O. Newberry of Community Service Bureau, Incorporated.

9. Tax Techniques for Foundations and Other Exempt Organizations is a rather technical book but a useful one for many offices around the campus.

10. Biennial volumes published by Matthew Bender & Company, Albany, report on the Conference on Charitable Foundations sponsored by New York University.

11. Community Foundations in the United States and Canada, 1914-1961, and supplemented down to date, reports on the philosophy and assets of this little-known sector of the foundation realm.

12. Russell Sage Foundation, publisher of The Foundation Directory, is also the publisher of A Study of Company Sponsored Foundations and various other volumes in the foundation field.

These and quite a few more constitute the printed word on the subject. Visits with faculty members around your campus will suggest professional publications which report on foundation affairs from time to time: Musical America, for one; Science; Chemical and Engineering News. Who's Who in America in each volume cites acts of philanthropy, occasionally providing invaluable information about foundation patterns. Class notes of your alumni magazine will remind you of business connections to corporate foundations. Subscriber lists of the local symphony or art center will register foundation giving to these causes. Your own resourcefulness will suggest many more possibilities.

By this time you will begin to feel that you are up to your hips in foundations, to twist Sophie Tucker's phrase, but I know of no other way to get started. Then come the tasks of refinement and of the reduction of your foundation roster to manageable proportions. The problem is where to stop; too many institutions try to maintain elaborate files on every foundation under the sun. In our case the active list of foundations will embrace less than fifty. Duke University, despite all of its research projects and vast alumni constituency, will be concerned with only 250 or so.

As you read, signs and trends will begin to appear. Many foundations are refocusing their programs--Ford, Kettering, and Danforth, for example--and this will reveal itself as you go along. Your initial concern will naturally be with your regional foundations, most of which operate in informal ways, but there are nonetheless important national foundations which you should follow closely. For today's best bets I would try Ford, obviously, and its offshoot, Educational Facilities Laboratories, plus Esso Education Foundation's SPUR program and the National Science Foundation. Here are four which are willing to listen to all comers regardless of location or type provided they have an idea which fits the foundation's pattern. And soon we will undoubtedly be adding a fifth to the list, the impending Federal Arts and Humanities Foundation which is developing extraordinary interest in Congress.

Educational Facilities Laboratories is a special pet of ours at Colorado College. We have had only $10,000 from them, but it led to much more. Our campaign literature had long listed as one of our campus needs a new infirmary to replace a frame building which was a fire hazard and an unsatisfactory place in many other ways. Despite the literature, we hadn't mustered a penny for the infirmary. But we kept on working and soon convinced ourselves that what little new infirmary construction there was on liberal arts campuses was rather uninspired and that we had an opportunity to do a creative job of building that could be helpful to other colleges as well. We went to E.F.L. for an exploratory grant and got the $10,000 to study the problems of small-college health centers, in cooperation with Knox College and Wittenburg University. The results, including an experimental design for a round building with certain distinctive features, were published by E.F.L. and became, in a sense, a piece of fund-raising literature for us. Kresge Foundation responded with a challenge grant of $25,000, the Boettcher Foundation of Denver came forward with $200,000 and $10,000 grants were later forthcoming from the Beaumont and Fleischmann Foundations and the Colorado Springs Community Trust Fund, plus $5,000 from the Esso Education Foundation. Thanks to these foundations we have our building, and it is round.

By now, as a result of your reading and compiling you should know a good bit about foundations. The other ingredients in a successful foundation program are to know your own campus intimately and to know higher education as fully as you can. This means more reading and more reading and more reading: The New York Times and all the rest.

A series of visits with department chairmen will help to keep you abreast of ideas and projects which are stirring in the corners. The annual reports to the president and dean will also help. Your long-range plan for campus development is an important ingredient.

Soon you will have a roster of needs and projects which you can begin to match up with your foundation files.

The problem of keeping the faculty informed about foundation developments is a difficult one. We have tried newsletters, the establishment of a foundation browsing library, and even the appointment of an associate dean for foundation activities. Nothing worked too well. In the end it will largely depend on the development officer to see that the word is passed and I prefer the individualized approach--a memorandum to an individual or a visit--instead of a broadcast memorandum.

What are the trends in education and in foundation interest which might dovetail with your campus program? The key words these days seem to be disadvantaged persons and cooperative programs linking groups of educational institutions. I passed the time on the plane devising a surefire foundation project to capitalize on the current vogue and am glad to share it with you. It is a proposal for "A Cooperative Program to Raise Science Literacy Among the Culturally Disadvantaged by Means of Computer-Programed Educational Television."

You will continue to read and read--everything in sight, even the catalog. It is always useful to have a working knowledge of your faculty backgrounds in terms of who might know whom.

Sometimes you can be the catalyst on your campus. The Education Department, perhaps, is concerned about the local high school curriculum and wants to help to enrich it. Meantime the History Department wants to get started on nonwestern studies. Might these interests combine into a proposal for support of a college course in nonwestern studies for high school teachers, this doing good in its own right as well as providing some of the financial help to hire a specialist who can do other teaching as well?

And there you have the ingredients, a knowledge of foundations and their patterns and a knowledge of your own institutions and its aspirations and its distinctions. Every campus has a distinctive personality or two, an unusual project of some kind, an urge to become better. In our case we have a music publishing venture which has attracted attention out of all proportion to its size, and foundation support along with it. Look around you.

To a wiser colleague, John Detmold, who appears tomorrow, I shall leave the subtleties of foundation proposals and approaches. I can only encourage you to give the foundation field a try; this, to me, is where much of the adventure of educational fund raising lies. And a successful foundation proposal can provide enough exhilaration to surmount many days of routine and frustration. It won't be all roses and you will sometimes get the impression that the whole foundation world is united against you. I am reminded of a non-foundation story but one which has some bearing on the matter.

In Colorado as in most states we have an association of liberal arts colleges which go out together to make corporate calls. One day a man from Regis College and I were teamed up to make a call which we knew would result in failure. The other chap, Marty Kelly, suggested we make the call, get our inevitable turndown, and then tear up the card for all time. We went out and things progressed as we had expected. The firm wasn't making any money, there were far too many drives, and, besides, this was stockholders' money and he wasn't sure about how the stockholders would like the idea. We started to leave but gave it one final try. Was there any better time of year to make a call on them? No. Did they operate on a calendar year basis? Yes. Did they have a budget for contributions? "No," our man replied, completely deadpan, "we simply turn them down as they come in."

Most foundations don't operate that way. I'd suggest we give them a try.

DEVELOPING FOUNDATION INTEREST IN JUNIOR COLLEGE EDUCATION

By Edmund J. Gleazer, Jr., Executive Director
American Association of Junior Colleges

> Unfortunately, budgetary considerations govern rather closely the activities of this corporate-sponsored foundation with its relatively limited resources, and the trustees have been compelled to establish limitations in aiding higher education in order to develop programs which can be sustained over a period of years. Aid, therefore, is restricted to four-year accredited colleges, and universities. You may be sure you have our best wishes for success in your important work.

Such was the message received by the junior college field, both the individual institutions and the Association, in 1956-57.

That same year the Association declared the necessity for "a better understanding of the services of junior colleges essential to higher education and to America now and in the immediate future. Information must be widely disseminated to foundations, business and industrial concerns, voluntary associations of educational and religious interest, to taxpayers of the several states, and to the general public. Factual knowledge regarding the financial needs must be presented so that financial help will result to assist these colleges to perform more effectively their unique function in American higher education."

Funds were raised by the membership of the American Association of Junior Colleges for a one-year program of interpretation of the junior college with foundations, corporations, governors of the states, and national organizations as the chief focus of attention. At about the same time--and this is most important to note--the various states and the federal government were becoming aware of the new and critical role that education was to occupy in the development of the nation, its resources, and its security. Commissions, from the White House level to the various states and communities, began to take a much closer look at educational conditions and to report the emphatic need for educational opportunity beyond the high school to be made available to rapidly growing numbers of people of ever-broadening varieties of talent. Out of this study and concern the junior college began to emerge as an educational institution forged in social necessities. The problem of public information became one not so much to stir up interest but rather to respond with accurate and useful information which would contribute toward the sound development of an educational idea that seemed sure to have expression in a big way.

Where was the source of this kind of information? Where were the guidelines? Who were the people who could help? For this kind of service it was natural to look toward the professional organization in the junior college field--the American Association of Junior Colleges.

However, the Association had been working with limited funds. It had one full-time professional staff person and two secretaries. Its commissions were limited in their activities because of absence of staff services and travel money. A definite void existed in the publications field. The Junior College Journal, with a circulation of about 4000, was published at the University of Texas as an after-hours responsibility for Professor James Reynolds. The job carried honor but no remuneration.

It was crystal clear that people looking for assistance for all manner of problems in the junior college field ought to be able to look toward the Association for certain services that no other agency could appropriately provide. W. K. Kellogg Foundation agreed, and after several months of conferring, a long-range commitment was made which gave the Association the boost it needed to enter into a vastly different kind of world. Funds were provided for staff, commission activities, publications, consultants, and a national advisory committee. A seven-year projection was made of the financial activities of the Association with the understanding that as Association resources grew--the foundation's contribution would diminish until the program as envisioned would terminate in 1967. That schedule has been followed for five years. As other foundations have sought new fields of interest, the Association through its staff services, publications, and identified areas of need developing from commission work, has been enabled to communicate in a more effective way and hence has found a broadening base of financial support.

The table reports amounts received for direct association projects from foundations. Other funds have gone directly to institutions but the information and consultation necessary for decision-making by the foundation was provided by the Association. An example is the Junior College Leadership Program which involves ten universities in various parts of the country and to which W. K. Kellogg Foundation has committed about $3 million. Similarly, the Association has prepared staff papers and general proposals in the fields of nursing, teacher preparation, guidance, vocational-technical education, transfer between two- and four-year institutions, dental hygienist programs, dental assistants, library development, curriculum development, facilities planning, and a host of other fields.

Sears Roebuck Foundation has broadened its program of contributions to privately supported colleges by now including junior colleges. We were involved in discussions aimed at this possibility. We have written to all companies having matched-contribution programs and in the early years of this type of philanthropy had personal conversations with leaders in the field. We were delighted when General Electric began to include junior colleges and technical institutes.

Early this year I was invited by the Council on Corporate Contributions of the National Industrial Conference Board to participate in its Pittsburgh meeting. We presented a memorandum prepared specifically for this knowledgeable group of corporation representatives to acquaint them with the status of junior college development--major problems and issues in the field--and some suggestions about the ways in which corporations could be helpful to junior colleges and how junior colleges could be of assistance to corporations. There was a high degree of interest evident, and, subsequently, many companies have asked for additional information.

During the late Fifties and early Sixties, the Association sought and found many foundations and corporations interested in participating in a variety of projects and programs calculated to improve junior college education, and to increase understanding of the many opportunities represented by the two-year college in America. In an early effort, the Association produced, with support from Sears Roebuck Foundation, an attractive information booklet on two-year colleges. Thousands of copies were distributed to schools across the country.

In the vital field of guidance and counseling, the Association, with assistance from W. K. Kellogg Foundation, cooperated with a number of universities in the development of summer workshops for teachers and administrators of student personnel programs.

A major grant from the Carnegie Corporation of New York enabled the Association to arrange for and administer a national project for the appraisal and development of student personnel work which will have profound effect on this field for years to come.

With growing interest in expanding and improving technical and semiprofessional education at the two-year level, the Association has engaged in a number of vital projects. The Alfred P. Sloan Foundation has contributed support for a major bulletin in the technical education field, and is providing funds for a national survey to identify prototype programs in technical education. Spurred by AAJC, the Carnegie Corporation of New York has provided funds to assist in the creation of technical education leadership Centers. St. Louis Junior College District has been designated as such a center.

Concerned with clarifying the important role of the private junior college in higher education, the Association obtained assistance from Lilly Endowment, Inc. for a conference of private junior college leaders. From that meeting have come regional programs among private junior colleges, a major financial study of private colleges, and a positive national statement on the place and purpose of the private institution in American higher education.

The Esso Education Foundation in 1964 contributed $50,000 for a two-year program to implement findings of a national study on the transferring student. Support has come from Time, Inc., for a factbook on junior colleges, and from Shell Oil Companies Foundation for assistance in the development of a publication in community college planning.

Among the projects supported by the W. K. Kellogg Foundation was the creation of a National Advisory Committee on the Junior College, a sounding board of prominent citizens to help clarify trends and developments in junior college education. The committee already has made a national statement on occupational education that has received wide public notice.

These developments, the increasing concern of philanthropic interests with junior college education, are also reflected at the local level. Scores of colleges have received grants from corporations and foundations--ranging from such major contributions as $1.25 million from Whirlpool Corporation to Lake Michigan College, $750,000 to Bennett College from Richard King Mellon Charitable Trust in Pittsburgh, and $475,000 from the Fund for the Advancement of Education to the Chicago City Junior College for its TV College.

The climate was never better for community junior college development. The Association has found other organizations--such as the American College Public Relations Association, the American Chemical Manufacturing Association, the American Vocational Association, the American Alumni Council, the Chamber of Commerce of the United States--willing and anxious to engage in cooperative programs.

The Association, moreover, has been pleased to respond to requests from the nation's press for information as the national educational spotlight has turned toward junior colleges. In recent weeks, comprehensive reports have appeared in such publications as New York Times, Time, U. S. News & World Report, Wall Street Journal, Saturday Review, and in the local press across the country. Through its national public information program, the Association has been prepared to provide up-to-date and constructive data on trends and developments in the field. In short, we have tried to report on what is happening, where it is happening, and who causes it to happen!

Let me reemphasize my original point. The climate is right for junior colleges. Right for getting things done, for obtaining assistance to get things done. But they must be imaginative, creative things. They must demonstrate vision and forward planning and thinking. It is my sincere conviction that resources will follow ideas, wherever and however those ideas originate.

AMERICAN ASSOCIATION OF JUNIOR COLLEGES

FOUNDATION SUPPORT
1957 - 1967

Foundations	1957	1958	1959	1960	1961	1962	1963	1964	1965**	1966-67	Total
Sears Roebuck	$6,445.										$6,445.
U. S. Steel		$10,000.	$10,000.	$10,000.	$10,000.	$10,000.	$10,000.	$10,000.			70,000.
Fund Advancement Education		3,500.									3,500.
National Science Foundation			28,100.					5,163.			33,263.
W. K. Kellogg Foundation			60,000.		61,553.	92,500.	113,100.	106,100.	$68,536.	($76,400.)*	578,189.
Ford Motor Company Fund						10,000.	5,000.	5,000.			20,000.
General Electric						2,500.	2,000.				4,500.
Shell Company Foundation							1,000.	1,000.	2,000.		4,000.
Sloan Foundation							5,000.	9,500.			14,500.
Lilly Endowment							14,000.				14,000.
Time , Inc.							2,500.	2,500.			5,000.
Carnegie Corporation							50,000.	62,000.			112,000.
General Motors								10,000.	10,000.		20,000.
Esso Foundation								26,000.	(25,000.)*		51,000.
Council on Library Resources									3,880.		3,880.
Total	$6,445.	$13,500.	$98,100.	$10,000.	$71,553.	$115,000.	$202,600.	$237,263.	$109,416.	($76,400.)	$940,277.

*Parenthesis indicates funds that have been committed but not yet received.

** Amount received and committed through April 1965

A PERSPECTIVE ON THE ORGANIZATION OF A JUNIOR COLLEGE DEVELOPMENT OFFICE

By John W. Leslie, Executive Vice-President
American College Public Relations Association

What could be more superfluous than to say, "define the function and then get the right person to perform this function?"

As simple and as obvious as this statement seems, it is probably the most violated rule in the establishment and staffing of college development and public relations offices. Without question, a large portion of the unhappiness with, and poor performance of, college development programs could be eliminated--along with the accelerated accumulation of presidential gray hairs--if chief executive officers would do two things:

1. Define clearly and specifically the purposes and objectives of the institution's development program.

2. Determine the type of person and qualifications necessary to make this program a success in a reasonable period of time.

These are the two points I would like to make today. The same "sermon" could be given to many of our best known educational institutions who have been in the business of seeking private philanthropy for decades--so don't feel, as junior college administrators, you are being singled out for special preaching.

On the other hand, most of the institutions represented here today are comparative newcomers as major educational operations. But even the oldtimers among you are suddenly aware of expanded vistas which are opening up every day. As newer institutions not beset with old traditions and methods, you are in an enviable position to profit by others' mistakes and establish your long-range advancement programs as they should be.

First of all, let me say that neither of the phrases "public relations" nor "development" is profane. We don't have to work undercover or dream up some esoteric title to hide the function. Properly understood and practiced, public relations and development are as natural to an educational institution as they are to any other operation, private or public. If the state legislature or school board thinks otherwise, hiding the public relations or development officer in the biology department--or some other equally devious budget shenanigan--is only avoiding the issue. It might take longer, but if a clear case is presented for need of a development and public relations program and personnel to perform the function, the institution and its administration will be much farther ahead.

Much of the mistrust and uneasiness--even skepticism--of public relations and development comes from misunderstanding of the terms. P.R. and development are in many ways similar:

1. They should both be designed to increase the community's understanding and support of the institution.

2. They have both been misused long enough now that public relations is thought of as a synonym for publicity and development as a synonym for fund raising. Actually, fund raising is but an extension of either of the two operations.

3. They both are considered somewhat illegitimate operations which we wouldn't be in if we hadn't done something wrong or needed money.

Maybe the semantical battle is out of hand and we should be spending time on getting the job done by whatever name we call it. For this reason--and this reason only--the word"advancement" makes sense.

The only point in spending so much time on definitions(at the risk of making this sound like a thesis) is that many of our problems are brought about by poor communication. We say"public relations and development" in the best sense of the words to our legislators, or constituents, and their brain decoding devices punch out the words "manipulator" or "con" man.

But, to get back to the subject--defining the function. It sounds simple but, because of the complexity of the operation, definitions vary. There is no problem if one institution draws up a different job description than its neighbor, if it is carefully thought out, and if the right person with the right talents is selected. A person who has made a good mark with the development program at a small, select, woman's college may not necessarily be the right person for an urban, public institution and visa versa. Also, another potential pitfall is relating the size of institution and development program directly to the competency of the individuals employed. There are as many intelligent and capable people at small institutions as at large ones and, unfortunately, the reverse is just as true--there are incompetents in both.

What are some of the factors to be considered in defining the development function at your institution?

First of all, the institution has to be defined along with a clear and specific description of the development program's objectives. Some of the questions which should be asked are:

1. What, if any, are the basic uniquenesses of the institution?

2. What group or groups are served by the institution?

3. Theoretically, who are the major support prospects or groups?

4. What is the climate for fund raising within the institution and within the governing body?

5. Is the institution willing to budget funds for a development program for the next two or three years?

6. What are the specific job assignments for the development officer?

7. What will be his working relationship with respect to the other members of the administrative staff?

8. Is the budget contemplated for the office sufficient to do the job?

9. Does the chief administrative officer want to build a strong volunteer development group, or is the position to be generally a personal-contact job?

These questions will beg many more of a specific nature. The most important thing is to make certain that no question is left unanswered or is ignored because of the difficulty of the answer. We only fool ourselves and the institution suffers in the long run.

Selecting the right person is a much more difficult operation and defies any pat generalizations. It can't be conveniently said that for such and such a type position the person should be "X" number of years of age, have so many teeth, and comb his hair in a certain manner.

The rule to follow is that there are no rules. The only thing one can say for certain is that a person who is to be considered seriously should be reasonably committed to your type of educational program, have demonstrated soundness of judgment in his previous endeavors, and give strong indication of imagination in his approach to problem solving. Most people find the more detailed and thought through the job description, the easier it is to select the right person.

MAKING THE CASE FOR JUNIOR COLLEGE FOUNDATION SUPPORT

By Donald A. Eldridge, President
Bennett College

Back in the depression of the early 30's, long before most of the foundations were established, there was a restaurant--somewhere in Iowa, as I recall--which promised aspiring writers a free meal in return for a rejection slip. Most of us who were collecting rejection slips at that time, of course, couldn't afford the travel expenses involved, so we couldn't take advantage of this opportunity to "eat our own words."

When Jesse Barnet asked me to discuss "Making the Case for Junior College Foundation Support," it occurred to me that he might be basing his invitation on the fact that Bennett has been quite successful in accumulating rejection slips. When I asked Mr. Barnet about this, he insisted that he was prompted by the knowledge that we have had a few successes, too, and he thought the participants in this workshop might like to hear some details about how we prepared our case in these ventures.

Thus, following instructions, I shall describe briefly how we prepared two cases: one for the Educational Facilities Laboratories, which resulted in a $10,000 grant for the development and design of a science building for a small college, and the other for the Richard King Mellon Charitable Trust, which culminated in a grant for $750,000 for a center for the arts. (The science center is still in the design stage, while the center for the arts is well under construction at this point).

Making the Case for a Science Center

Hopelessly inadequate facilities for the teaching of science made the need for a new building obvious. Several years of thought concerning the need for a new approach to the teaching of science, especially at the introductory college level, and particularly with respect to women, made clear the desirability of exploring new possibilities. Consultation, both through correspondence and in personal conferences, with distinguished scientists and teachers of science in various colleges and universities and also in industry encouraged us to develop some rather radical ideas. Time does not permit a detailed analysis of the educational theories involved here, but one fundamental difference in approach is the thought of combining demonstration-lecture, classroom and laboratory activities instead of dividing these into three separate procedures in three separate rooms. We are currently refining plans for combination lecture-classroom-laboratory facilities so designed, with the use of contemporary teaching devices in mind, that they will be able to accommodate students for various kinds of science study in various sized groups up to approximately 100 at a time, thus eliminating the waste of space and, more important, duplication of time and effort by our teachers, so often a result of multiple sections of the same course.

We carefully sought advice on the selection of an architect who would have the imagination and freshness of view to translate our ideas into building design. He (Mr. Edward L. Barnes, of New York City) developed some preliminary plans, deriving some of his proposals from my reports made on a variety of new buildings I had observed in the course of an exploratory journey undertaken with the aid of a small grant from the Fund for the Advancement of Education. Particularly useful was a thorough tour of the then just completed octagonal building with central core at the University of Miami(Florida). Tours of a number of new science buildings which perpetuated a conventional arrangement and traditional problems produced warnings on archaic features to avoid.

With our architect we had preliminary conferences with an architectural consultant at the foundation offices. Important suggestions grew out of these, and in due time we prepared our case--a five-page document which included a summary of our educational objectives followed by statements of "the problem," suggested solutions, and estimated budget. This was illustrated by some schematic drawings prepared by the architect. At this point, we discussed the plans with Dr. Harold Gores, president of Educational Facilities Laboratories. Then we waited.

> My letter covering the presentation of the case said in part:
>
> We are presenting herewith an idea for a science teaching center which we want to explore in depth, searching out possible previous applications of the idea, studying its ramifications, and then applying this research to the development of a building for Bennett College.
>
> It is our belief, shared by our architect, Edward L. Barnes of New York City, that with proper research a building can be designed that would be unique and one which might well serve as a model for other institutions planning science facilities in the future. Hence we would like to apply for a grant to underwrite the expenses involved in thorough research and development which would be beyond ordinary architects' fees, as estimated in the budget on page 5.
>
> The final paragraph of the letter notifying us of this award read as follows:
>
> It is our expectation that the end product of this grant will be an exciting science building, which will be a model of imaginative planning for other small colleges planning new facilities for the physical sciences.

I should explain that there was an important interim procedure, in which we curtailed some of our plans and budget, reducing the amount of our request from approximately $20,000 to approximately $10,000, having been informed by our architectural consultant at E.F.L. that this would be more likely to bring favorable consideration. To accomplish this, we eliminated such things as preliminary detailed drawings and working models, some fees for highly specialized consultant's fees, and a half-year's leave of absence for the head of the science department, providing him instead with expenses for summer travel and research on the problem.

One other comment: it was obvious that our selection of the architect was an important factor in the success of our application for this grant. Mr. Barnes had instilled confidence in the feasibility of our theories.

Making the Case for a Center for the Arts

Here again, time does not permit a detailed presentation of the educational theories behind our plans for a new art center, but I should mention a few facts in this connection:

1. The arts have long been an important tradition at Bennett College, where we believe both artistic literacy and the development of creative talents to be especially important for young women in our society.

2. With an increase in enrollment as well as an increase in the dynamic appeal of the faculty in the various arts, our facilities had become badly overcrowded.

3. We wanted to encourage further integration of the arts.

4. We were anxious to develop a program or programs for summer use of our campus, especially in the arts.

The need for new facilities to accomplish all of these things was very apparent. We published a plan, with illustrations, in a prospectus designed for our 75th Anniversary Development Program, called "New Dimensions at Bennett," which I presented in person to one of the directors of the foundation who, I should add, had attended Bennett. I was accompanied in this initial visit by a member of our board of trustees--the chairman of our Long-Range Planning Committee.

Once more, we were careful in the selection of our architect, particularly considering problems of renovating our existing theatre, an old building, in addition to the construction of new connecting facilities. Also, the architects had had previous experience in designing facilities for the arts.

When tentative details were ready, I had a conference with the executive of the foundation in Pittsburgh. Subsequently he came to the campus for an all-day visit, during which he talked with various members of the college administrative staff, faculty, and students, but particularly with our faculty in the arts. The latter, I am convinced, was the major factor in the presentation of our case, for here the faculty who had generated the ideas had an opportunity to express their ideals and enthusiasm directly to the foundation executive. Thus he was convinced of the vitality of the faculty, and particularly of the fact that plans for design were growing out of their ideas for teaching. This was a more effective presentation of our case than any written document could have been. It should be emphasized that the establishment of interest on the part of the foundation director who had connections with the college was only one of several important factors in the making of this case; this contact alone would not have produced the grant without the other carefully prepared steps described above.

Subsequently, I accompanied the chairmen of our various art departments and our architect on a two-day visit to the new Hopkins Center for the Arts at Dartmouth College for a thorough, on-the-spot conference in which together we refined plans for our own facilities...an extension of the procedure used in preparing our case.

Conclusion

The conclusions to be drawn from these two cases may be summarized as follows:

1. The case must have intrinsic merit, reflecting well-considered ideas developed by and with the faculty.

2. The case should have some elements of innovation--of a new and fresh approach to educational problems.

3. The architect must stimulate confidence in the design aspects of the proposal.

4. The case should suggest ways in which the proposal can be valuable, not only to the institution presenting it, but potentially to other institutions as well, serving as a model.

5. Preliminary conferences with representatives of the foundation can be most helpful, both to the college officials and to the architects.

6. In summary, the case should reflect the coordinated efforts and thinking of all who are involved: faculty, administrative officers, architects, and foundation representatives themselves.

These two cases involve construction of buildings, but I believe the same basic elements and approaches are applicable in the presentation of ideas which do not necessarily involve plant expansion. Mr. Sunko will have some further comments on this.

MAKING THE CASE FOR JUNIOR COLLEGE FOUNDATION SUPPORT

By Theodore S. Sunko, Assistant to the Executive Dean
Chicago City Junior College

In examining the case for junior college foundation support, Don Eldridge has described two cases which involved grant support of innovative ideas in plant expansion. Our experience has been concerned with the support of new programs, rather than new faciltites, but before describing these experiences I would like to comment briefly on some basic assumptions underlying the case for junior college foundation support.

During the greater part of their existence, junior colleges have neither sought nor received foundation funds to any appreciable extent. Why, then, should they do so now, at a time when an enormous number of worthy causes are already competing for the foundation dollar? The answer, briefly, is that there exist many significant educational problems of general interest which fall clearly within the distinctive institutional objectives of the junior college. When the benefits of the study of such problems accrue, not only to the investigating college itself, but, through diligent reporting procedures, to other interested institutions and agencies as well, it is appropriate that needed financial assistance be given the college.

We know that operating budgets of junior colleges, like those of all institutions of higher education, are strained to meet the mounting costs of supporting ongoing programs. It is necessary, therefore, for a junior college to seek foundation assistance to cover the research and development stage of certain projects. As conditions for its financial support, the foundation can reasonably expect the junior college to bring to the project creativity and leadership, as well as a full commitment of its human and material resources to the extent that they are available. Further, the foundation can and should require the establishment of a regular reporting procedure because it is only through the effective dissemination of the findings that lessons useful to others may be drawn from the experience. Let me illustrate by outlining the experience of the Chicago City Junior College in developing and conducting foundation-supported projects.

The Chicago City Junior College is an urban, publicly supported, multicampus institution serving some 33,000 students. It was founded in 1911 and developed along conventional lines. For much of its history its interest was fixed first on problems of survival, and later, following the end of the war in 1946, on problems of providing facilities to house a rapidly increasing number of students. In the past nine years, however, the college has participated in a number of projects which have great relevance, not only for its own problems, but also for the solution of similar problems in other parts of the country. To support such activity, the Chicago City Junior College has been the recipient of almost one million dollars in foundation grants. An examination of these projects will make clear some of the principles which make up the case for junior college foundation support.

In 1956, the Chicago City Junior College began a three-year study of the feasibility of offering regular college courses for credit on open-circuit television. The study was made in cooperation with the Chicago Educational Broadcasting Association, which operates the Channel 11 station, and was financed in part by a grant of $475,000 from the Fund for the Advancement of Education. Although I do not wish to go into details of the project, I do want to touch upon the reporting procedures employed.

From its very inception the project attracted the attention of educational circles both at home and abroad. To date, more than 300 educators have made personal visits to the studio and offices of TV College--fully half of them have come from other countries. Thousands of requests for reports and printed material have been received, and some 160 speaking engagements have carried the findings of the experiment to professional conferences throughout the country. At the end of the three-year study, a panel of distinguished educators concluded that "the project has been conscientiously and competently conducted." Their evaluation is contained in a published report which includes an excellent summary of ten significant findings of the experiment. A more technical final report and the several preliminary annual reports also made findings available to the public. But the story of this project does not end with the "final report."

It is said that one measure of the success of a foundation-sponsored project is the extent to which it is continued beyond the support period. TV College was supported for the first three years of its life, but next fall it will begin its tenth year of operation. Our board of education is now spending more than $400,000 per year in support of this program. But--and this is important to note--the initial grant has generated more than an ongoing program of television instruction. It has also generated a spirit of inquiry and development, so much so, that investigation into upgrading the quality of instruction via television continues. The technical quality of the telecasts has been improved by the use of two cameras rather than one, and by the use of video tape for repeat telecasts. Current experimentation is concerned with adaptation of open-circuit television to on-campus instruction, improvement of follow-up instruction, and the use of programed materials as an adjunct to television instruction. A welcome by-product of this ferment has been increased cooperation and communication between campuses of the junior college, and between the junior college and the Chicago Teachers College, in developing course offerings. Much of this post support-period development is described in the latest published report the Fourth Report of TV College, which summarizes the first eight years of operation. This was printed at our own expense in September, 1964.

Almost five thousand copies have been distributed to date. Another printing of 2,000 copies is in process.

I have discussed the TV project at some length because it illustrates so well some of the factors which make the case for junior college foundation support and because it is a project which has been completed.

Two other foundation assisted projects conducted by the Chicago City Junior College are now in progress. In 1963, the Kellogg Foundation awarded a grant of $312,440 for the establishment of an associate degree program in nursing and for the development of a Midwest Curriculum Demonstration Center. In so doing the foundation was encouraging what has come to be widely regarded as one of the most promising solutions to the critical problem of nurse shortage, namely the development of two-year college-centered programs. The first annual report for the school year 1963-64, covering the period of program planning, program development, and recruitment of staff has now been completed. Instruction began at the Mayfair campus in fall, 1964, with forty-seven students enrolled. The enrollment is expected to rise to 275 students by 1967. Even while the program is unfolding, plans are being made to expand it to three additional campuses of our institution--campuses which are strategically located with respect to hospital facilities. Of particular interest is the probable development of the program at a new $7 million west side campus to be situated within the Medical Center of Chicago, a 305-acre complex of institutions for medical service, instruction, and research.

A second Kellogg Foundation grant of $112,493 was awarded in 1964 for the establishment of six associate degree programs in business at the Loop campus of the Chicago City Junior College. This project reflects the need of the rapidly changing business community for well-trained young people who have both specialized knowledge and broad educational competence. The community college in the central urban complex is uniquely adapted to meet this need. We propose to do so by organizing a family of business curricula about a common core of general education and business education branching out into six specialization options. Business offices, stores, and shops will be used as laboratories for observation and for internship experience for students; outstanding specialists from the business community will be recruited to serve as curriculum advisors, teachers in specialized courses, and supervisors of field experience in the internship program.

These three examples show that junior colleges can make a significant contribution to broad educational problems of more than regional concern through foundation supported experimentation and development. Such general problems are not uncommon. Sometimes what appears to be a purely local problem may turn out to have fairly wide applicability. This proved to be true of a current Chicago City Junior College project--the development of a Spanish language program for police officers of the city of Chicago. More than 200,000 residents of the city speak Spanish as their native tongue. Most of them have little or no proficiency in English. They come from a different culture. Often they are apprehensive of a police uniform. If a police officer finds a Mexican boy who is lost, he has difficulty locating the parents if he can't speak Spanish because everyone assumes he wants to make an arrest. Or if these people suddenly decide to hold a street dance, as they do in their home country, the police officer who can speak Spanish can keep things calm by telling them it is against the law, rather than charging in on the assumption that a demonstration or disturbance of some sort is being fomented. Fully one third of the police force, or over 2,000 men, come into day-to-day contact with these Spanish-speaking residents; yet there are only a handful of police officers who are at all proficient in the Spanish language.

At the outset of the program it was discovered that other large cities across the nation had similar problems, and although attempts had been made to provide language training for police officers, there was no structured program in operation which could serve as a model for other cities. Therefore, the decision was reached to try a bold approach to the problem--to center the course about special instructional materials such as tape recordings by native speakers simulating police situations, transparencies of police situations for which students furnish the dialogue, and the selection of grammatical items which have high frequency in police work. We feel that these elements, combined with the most recent audiovisual techniques for the teaching of a second language, will enable us to develop a program which will be useful to the police officers of Chicago and those of other large metropolitan areas. This is another example of a project which requires support for the extraordinary expenses associated with its developmental period.

A number of other projects which may merit foundation support are under development at the Chicago City Junior College. The Wilson campus is developing a child-care curriculum which simultaneously meets an urgent need for nursery school aides while creating desperately needed employment opportunities for the disadvantaged young people of its community. The Loop branch is developing new curricula to train students for mid-management positions in the printing industry. Chicago has the second largest concentration of that industry in the United States, and it will soon be augmented by a new $25 million graphic arts center to be built in the Loop area. Clifford Erickson, executive dean of the college, is working on an exciting and creative proposal--the establishment of an "instant campus" for a new junior college through the use of air-conditioned, carpeted mobile units. Other proposals are being developed to investigate the kinds of academic and vocational programs which will be most useful to the college-oriented but academically deprived students who enter the junior college through its open admission door.

In citing these examples, I have tried to show how one junior college can couple its own resources with those of foundations to contribute to the welfare of the general educational enterprise. I have tried to show that the foundation dollar is being well-spent and that its effect is being multiplied through wide-spread reporting procedures. It is on these examples, and those taking place on other junior college campuses, that the case for junior college support rests.

There is important work to be done--and the junior college can do it.

PHILANTHROPY--THE VIEWS OF FOURTEEN COLLEGE PRESIDENTS

By Clyde E. Blocker, President
Harrisburg Area Community College

It has been a little over seven years since my last experience with a conference on philanthropy for junior colleges. I have vivid recollections of the special meeting the Council for Financial Aid to Education organized at the convention of the American Association of Junior Colleges at Long Beach, California, in 1958. There were perhaps fifty college presidents at that meeting, a few from public colleges but most of them representing private institutions. The single incident which stands out in my memory was the statement of the president of a public college to the effect that he thought he might return to his campus, set up a development program, and raise perhaps as much as five hundred dollars a year for scholarships. Our efforts at communication occasionally misfire with sometimes pathetic and sometimes humorous results.

Although I am certain the conference in Long Beach did stimulate some additional, effective activity on behalf of the financial needs of junior colleges, in at least a few instances, that sad experience planted the seed of an idea. The seed lay on fallow ground for a number of years until I had the opportunity to work with graduate students in the Kellogg Junior College Administrator Leadership Program at the University of Texas. In that setting, I had the opportunity to work with many exceptionally able doctoral candidates among which were Floyd S. Elkins and Fred H. Bremer who, under my direction, completed companion studies of philanthropy for private and public junior colleges. Thus, through a fortuitous temporal relationship, I am able to discuss development activities in such colleges with you today.

This paper and the monograph, Philanthropy for American Junior Colleges, include some of the salient aspects of Elkins' and Bremer's studies.

* * *

By way of introduction, let us look at six criteria which the authors believe are indicative of organized and sustained interest in philanthropic support of junior colleges. As one would expect, we immediately find confirmation of the fact that a far larger percentage of private colleges have responded to the need for extra income than have public colleges. Half of the public colleges reported alumni organizations, and one-fifth had development officers. One in ten had alumni funds, and 13.6 per cent used volunteer groups. Participation in the American Alumni Council and the American College Public Relations Association was very low (Table I).

The relatively aggressive activities of private colleges were made apparent by the relatively high percentage of institutions reporting the six criteria used as perimeters of the development program. The lowest level of participation was membership in the American Alumni Council, which included only 29.8 per cent of the 141 private colleges reporting. Almost 71 per cent of these colleges had alumni organizations, 68.1 per cent had development officers, and 58.9 per cent of the private institutions had volunteer groups.

In order to develop a sharper picture of the organization and techniques necessary for philanthropy for two-year colleges, seven public and seven private institutions were chosen on the basis of the total amount of support received and the variety of sources from which such support was obtained during the 1960-63 period. The colleges were distributed from the east to the west coast. Of the private institutions, four were independent and three were church related.

Eleven key questions were developed and mailed to presidents of the colleges before they were interviewed by telephone. The areas explored with presidents were:

1. Characteristics of successful development officers.
2. Necessity for, and content of, master plan for development.
3. Who are the prospective donors?
4. Methods of contacting prospective donors.
5. The case for the college.
6. Organization and uses of volunteer groups.
7. Uses of outside professional counsel.
8. Deferred gifts.
9. Methods of communication with workers and donors.
10. The expression of gratitude.
11. Types of campaigns.

Before exploring in detail the development programs of these colleges let us examine their organizational aspects for development purposes and make some comparisons with the total number of junior colleges studied. It is interesting to note that these fourteen colleges generally had the characteristics the authors considered essential to fund raising. The private colleges, with three exceptions, had all the characteristics related to organized financial support. The public colleges were somewhat less consistent in their conformity with our defined organizational essentials for development work. While all colleges in this group had development personnel, they did not generally use volunteer groups, had only four alumni organizations, one alumni fund, and one member of A.C.P.R.A. (Table II).

In striking contrast, our studies reveal that most of those institutions, both public and private, receiving relatively meager gifts from private sources had few, if any, of these six characteristics. In general, they did not belong to either A.A.C. or A.C.P.R.A. or utilize professional development officers. The overall picture which emerged showed that the majority of colleges studied had made only limited provisions for systematic fund raising.

Organization for Fund Raising

The organization of the college for fund raising includes the six criteria previously mentioned plus a comprehensive master plan, and the existence of a formal or informal campaign for gifts. While these aspects of organization differ with individual institutions and the attitudes of boards of control and college administrators, they do, with variation, constitute the framework within which such activities are carried on.

The Development Officer: The descriptions given by respondents, of development officers' characteristics, reminded the authors of the idealized concept for college presidents--physical, emotional, intellectual perfection. In all, the individuals interviewed mentioned forty-nine characteristics essential for the successful fund raiser. Obviously, even those perfect enough to be members of boards of trustees or college presidents do not possess all these characteristics all the time. After wading through all the adjectives it became apparent that development officers should have the following qualifications:

1. Superior intellectual and social skills.

2. Superior communications skills.

3. Fundamental understanding of the college, its problems and potentials.

4. The ability to organize and implement an internally consistent development program.

5. A broad understanding of the purposes and functions of higher education.

The development officer is the catalyst who translates the various aspects of the development program into an action program. In the last analysis, the personal contacts between the college representative and the donor will ensure or deter financial support for the college program. His primary function is to translate the needs of the college into terms which are relevant to the self-interest of the donor. In other words, he must motivate the donor to act in behalf of the college, which motivation is aroused when the donor believes that his response is important to others, the college, community, and himself.

The Master Plan: The master plan is the blueprint of strategy which will be employed in finding dollars for the support of the college, its current needs and future growth. The master plan should include a clear definition of the educational philosophy, objectives, and purposes of the college. These statements should be more than pious verbage in college publications. They should be the actual guidelines within which administrative and educational decisions are made by the board of control, administration, and faculty. Such statements constitute a "package" which can be sold to the donor, and it should be new and sparkling merchandise rather than shelfworn goods of little interest or value.

The educational programs of the college are the most important and yet the most difficult to define, communicate, and sell to individuals in a position to help the institution. It is virtually impossible to insure the prospect that he will see immediate and dramatic results if he contributes to the general fund for the improvement of faculty salaries, library collections and services, and other types of operational improvements essential to a quality educational program. As a matter of fact, successful presentation of this part of the master plan is quite analogous to selling insurance or similar business services. The buyer will not necessarily realize any direct personal gain but must be satisfied that his support is making necessary improvements in the education of students.

The master plan, therefore, must be based upon logic and internal consistency which will lead naturally to defensible generalizations that financial support will encourage "quality" education. Some bench marks which the development officer finds useful are comparisons of his institution's faculty salaries, library, and other educational resources with comparable institutions.

The overall plan for campus development--buildings and equipment--is also an essential part of the master plan. Here presidents recommended that there be a comprehensive architectural site plan and detailed written plans for the development of buildings over a period of years. The site and building plans should be inexorably related to educational programs.

There was wide disparity in attitudes toward and use of master plans when public and private institutions were compared. All the private colleges had, or were in the process of formulating, a master plan. The public college presidents, however, were definitely opposed to such a formal approach to donors contending that it was too commercialized and would be self-defeating. This difference in attitudes perhaps reflects the differences in clientele of the two kinds of institutions. Private colleges draw students from a wide geographic area, while public institutions are organized to serve a limited population residing in the immediate vicinity of the institution.

The master plan is in reality a broad base which is divided into various phases which are given priority as conditions change. Thus, a particular master plan may contain any number of sub-plans which, as conditions change, collectively might require the modifications or the revisions of the long-range plan.

The cost of the master plan was budgeted by all the private colleges. On the other hand, none of the public institutions included cost development plans in their budgets.

The "case for the college" grows naturally out of the master plan. This presentation to the prospect should, of course, be tailored to the circumstances and the individual or organization, but it should be consistent with the overall objectives of the fund campaign and the college program. Presentations to foundations or businesses are characteristically more formal and presented in both oral and written form. Such presentations are many times called "proposals."

Some examples of presentations for private colleges are:

1. The importance of a liberal arts education.

2. The merits of a Christian education.

3. The benefits of a college for women.

4. Preservation of an institution which stresses the spiritual aspects of life.

5. Individualized education of students.

6. The value of education on a residential campus.

Public colleges used these ideas:

1. The value of a local college responsive to local needs.

2. The necessity for low-cost education.

3. Community improvement and civic pride.

Types of Campaigns: Our respondents mentioned four kinds of campaigns. First, the special project, which is ordinarily one year in length and is focused upon quite specific objectives such as faculty developments and educational programs or limited expansion or improvement of the campus. Second, capital funds campaign over a three-year period for the purpose of financing major capital programs. Third, the revolving campaign in which immediate objectives of significant magnitude provide the bench marks for each three-year period. Last, the long-range campaign phased into two-year intervals and covering up to a ten-year period. The revolving campaign is generally used to provide funds for annual operating costs.

There were major differences in the opinions of public and private presidents in relation to the organization and use of the campaigns. In general, presidents of public institutions were not favorably inclined toward the highly organized campaign approach. Theirs was a more informal relationship with prospective donors without the aid of outside counsel, quantities of printed material or a systematic press for gifts. Presidents of private institutions used the campaign as a basic organizational framework within which they systematically sought gifts.

Techniques Used in Fund Raising

Our fourteen presidents suggested a long list of techniques used in fund raising. We have time to touch on only a few of them, such as:

1. Who are the donors?

2. Contacting donors.

3. Volunteer groups.

4. Professional counsel.

5. Methods of communication.

Who are the prospective donors? Potential donors to junior colleges are alumni, individuals, parents, corporations and businesses, foundations, and religious denominations.

To date, junior college alumni have not contributed as substantially to these institutions as is the case with four-year institutions. It is possible, however, to conduct an alumni fund campaign through special projects committees, the alumni organization, and contribution clubs made up of individuals who have contributed a minimum amount to the college. These techniques offer an avenue through which potential large benefactors can be identified. In private institutions follow-up contacts of individuals consistently giving large amounts over a period of years have proved quite rewarding. Elderly alumni are also prime prospective donors.

One private college whose clientele was dispersed over the entire nation, developed lists of alumni and parents according to geographic areas. The personnel of the college then held small meetings in each area with a loyal alumnus or friend of the college acting as host. The entire list of names of individuals in the area was coded into four groups according to their potential as donors by the six or seven individuals present at the meeting. As one president stated:

> The individuals with the highest potentiality were followed up first, then the second group, and so on. The results were quite rewarding. The areas were also screened for family foundations and a surprising number were identified.

The results of our studies indicate clearly that the two most important potential sources of income are corporations and foundations. If a college president or development officer is successful in establishing an effective liaison with one or more corporations or foundations, he stands a good chance to receive large gifts. It is entirely possible that such organizations, after having established their interest in a particular institution, will contribute systematically to the development of the college's educational programs or to its campus development. This kind of sustained interest and participation provides firm underpinnings for the entire development program.

The two primary tools useful in locating corporations and foundations who might contribute to the college are the Poore's Register and the Russell Sage Foundations Directory. In the words of one college president:

> The identification of prospects, whether it is an individual, a corporation, or a foundation, is the most critical element of the entire development program. It is the effectiveness in this area which is most important, because little difficulty in securing gifts is encountered if the real prospects are identified.

Contacting Prospective Donors: The techniques of contacting donors can be reviewed only briefly in this paper. The most important techniques included a thorough research of the individual's or group's background and interests. The development officer should know as much about the prospects as he possibly can. Vital information can be obtained from board members, alumni, parents of students, or friends of the college. With this information at his fingertips he should be in a position to make an appeal to the individual which has direct relevance to that individual's interest. It was also recommended that the case being presented be complete and as convincing as possible. The timing of the contact with the donor is also of vital importance.

One president outlined his thoughts on first contacts thus:

> The first approach to the prospect should be made without a thing in hand--no briefcase or literature. The formal proposal should be presented during the follow-up visit. The prospect should see, during this visit, that the administrator possesses vision and has well-developed and complete plans for the future.

Volunteer Groups: Volunteer work multiplies the amount of fund raising work which can be done in a limited time. Volunteers may be board members, alumni or friends of the college. Key groups in the community can furnish effective volunteers. These may be professional or service organizations, e.g., civic clubs, accountants, bankers, attorneys, or merchants. In public colleges a citizens advisory committee is often used.

Recently, some colleges have used a college foundation as the focal point for volunteer activities. The foundation is a convenient legal vehicle but, more important, its directors, who are influential and respected members of the community, lend prestige to the college and the fund raising effort. The stimulation of active and continuing interest in the foundation and the college among business and professional leaders opens many doors which would otherwise be closed.

Professional Counsel: The opinions of college presidents interviewed in this study were divided to the extremes concerning the use of outside professional counsel. Six out of the seven public junior colleges have never employed outside professionals and do not appear to be planning to use this type of service at any future date. On the other hand, some of the private college presidents testified that outside professional counsel is the most important single factor the college has working at the present time. Some contend that the professional counsel solidifies the development program and guarantees its success.

One church-related college retains an outside firm, whose specialty is deferred gifts, on a permanent basis. The college has sent three of its officers to the firm's home office for a six-weeks training course preceded by a correspondence course in estate planning and in the development and solicitation of wills. This service was rated highly effective by the college president.

When outside counsel is retained on a permanent basis for assistance in the long-range development program, the common procedure is for an officer of the firm to devote a few days each month to actual work on the campus. He establishes the goals, and outlines and organizes the work for the college officials to perform between visits. This procedure motivates and impels the administrators to complete their assigned tasks before the next visit. The cost for this service is less than it would be to employ another officer. This service is highly professional and specialized and is rated unusually effective by the four colleges using this type of service.

Methods of Communication: All the presidents interviewed in this study agree that reporting the progress of the colleges' development activities encouraged and stimulated more giving. Appreciation to those individuals and groups who were interested enough in the college to make contributions is expressed through reports to these specified publics.

The presidents all made annual detailed reports to their board of trustees. Two public junior college presidents reported that they made annual reports to the board only. The remaining twelve reported to other groups and individuals by mail, through mass media, and/or in person.

The alumni of private colleges usually received reports by means of quarterly magazines or newsletters. One college publishes an annual "honor roll" of those who have contributed. A "proof" copy of this publication is sent to alumni who have not contributed. This procedure stimulates considerably more giving, after which, a final copy of the "honor roll" is published and sent to all alumni.

In some private colleges donors are sent a quarterly newsletter with progress reports as well as the regular annual report. One college sends out a monthly bulletin, which periodically contains development reports, to 34,000 individuals on its mailing list. Another college sends a quarterly publication to all 60,000 constituents.

Some of the colleges make periodic reports to the American Alumni Council, the American College Public Relations Associations, and the Council for Financial Aid to Education concerning their development activities and voluntary gifts received.

Corporations and foundations must be sent special reports in regard to the particular project which they are supporting. Progress reports as well as a final report should be sent to these donors. In the succeeding years status reports should be sent to corporations and foundations concerning any activity or facility to which they had contributed.

Public and Private Colleges Compared

Our analysis showed clearly that public and private junior colleges used two overlapping but distinctly different patterns of fund raising. It is apparent that the differences in the financial needs and educational activities of the two kinds of institutions stimulate differences in both organization and techniques used.

Private Colleges	Public Colleges
1. Had formal organizations of program and staff	1. Had informal organization of program and staff
2. Master plan, both educational and physical, which included much detail	2. Master plan less complete
3. Used formal, organized campaigns	3. Did not use formal, organized campaigns
4. Used professional counsel for both organizing and implementing activities	4. Did not use professional counsel
5. Activities covered wide geographic area	5. Emphasis upon locality of college.
6. Used wide variety of professional and lay personnel	6. Used college personnel and a few alumni

7. Used generalized appeal based upon specific kinds of education for students	7. Appeal based upon local enrichment and improvement of community
8. Responsibilities of administration included fund raising	8. This responsibility secondary

Some Observations

In this brief paper, we have been able to look at only a few dimensions of the organization for and techniques of fund raising. The responses to our interviews do, however, provide enough information for some generalizations. These fourteen college presidents seemed to be saying:

1. There must be a strong overt commitment by the board of control to the organization and support of fund raising activities. The effort requires money and personnel, and a poorly organized and underfinanced program is worse than none at all.

2. The board of control must be willing to give at least their time to the development program. They are the most effective bridge between the college and its communities.

3. The president of the college should be chosen, at least in part, on the basis of his ability as a fund raiser. After selection, he must have time set aside for organization and direction of the fund raising effort.

4. All colleges should have some kind of master plan. Such a plan is not only necessary for the development program, but it is needed for the healthy functioning and growth of the college. The writing of a master plan requires a critical assessment of the problems and potentials of the college.

5. Successful fund raising is not related to the needs of the college but rather to the effective communication of these needs in a fashion which relates needs to the self-interest of donors.

TABLE I

NUMBER AND PERCENT OF COLLEGES HAVING CHARACTERISTICS OF DEVELOPMENT PROGRAMS

Criteria	PUBLIC		PRIVATE	
	Number[a]	Per Cent	Number[b]	Per Cent
Development Officer	62	21.1	96	68.1
Alumni Organizations	144	49.0	100	70.9
Alumni Funds	31	10.5	69	48.9
Volunteer Groups	40	13.6	83	58.9
Membership in American Alumni Council	11	3.7	42	29.8
Membership in American College Public Relations Association	22	7.5	59	41.8

[a] 294 Respondents.

[b] 141 Respondents.

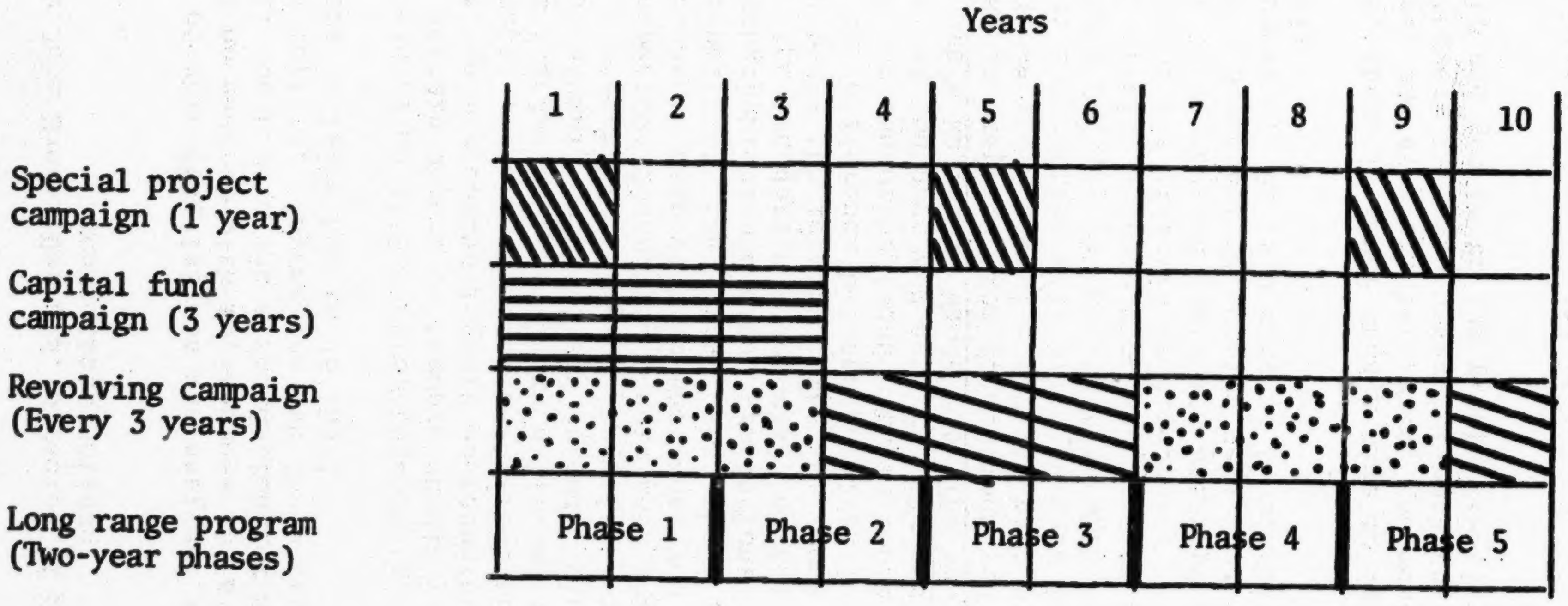
TABLE II

EXTENT OF DEVELOPMENT PROGRAM CHARACTERISTICS FOUND IN FOURTEEN SELECTED JUNIOR COLLEGES

	Development Workers		Active Volunteer Group	Alumni Organization	Alumni Fund	Member of A.A.C.	Member of A.C.P.R.A.
	Full Time	Part Time					
Private Colleges							
Number 1	1	2	Yes	Yes	Yes	Yes	Yes
2	2	3	Yes	Yes	Yes	Yes	No
3	0	2	Yes	Yes	Yes	Yes	Yes
4	0	2	Yes	Yes	Yes	Yes	Yes
5	1	1	Yes	Yes	Yes	Yes	No
6	1	1	Yes	Yes	Yes	Yes	Yes
7	0	1	Yes	Yes	Yes	No	Yes
Public Colleges							
Number 1	0	1	No	No	No	No	No
2	0	1	No	No	No	No	Yes
3	0	1	No	Yes	No	No	No
4	0	2	Yes	Yes	No	No	No
5	0	1	No	Yes	Yes	No	No
6	0	2	No	No	No	No	No
7	0	1	No	Yes	No	No	No

FIGURE I

TYPES AND DURATION OF INTENSIVE, SHORT-TERM CAMPAIGNS



FROM LEGWORK TO TYPEWRITER: GUIDELINES FOR PREPARING A FOUNDATION PROPOSAL

By John Hunter Detmold, Director of Development
Connecticut College

The title of this disquisition was assigned to me; I did not choose it. But I have no quarrel with it, because it is perfectly clear. I am supposed to tell you how to ask a foundation for money--and get it. The "and get it" is implied. Anyone can ask for a grant and not get it; you did not come here to learn how to do that!

The front end of my title--"From Legwork to Typewriter"--clearly implies that a certain amount of legwork should precede the asking. And in this context, we may define legwork as research, gathering information about the prospect, and cultivating an interest in your institution. In this respect, a foundation is not very different from any of your other prospects: your alumni, parents, and friends, plus those corporations to which you can reasonably turn for financial support. To win the support of any prospective donor, you should know something about him. Since we are concerned here with foundations, you should learn all you can about their policies, their interests, their previous and current grants, their geographical and other limitations, if any, and the persons involved: the foundation's donor(s), directors, officers, and staff. This is where the legwork comes in. Some of the information that will make the difference between an effective proposal and the kind we usually send out cannot be found even in those basic, essential sources which I hope all of you have and use: The Foundation Directory, Foundation News, Poore's Register, Who's Who, The New York Times, and your own collection of annual reports from foundations you are particularly interested in. Those sources will carry you part of the way, but the critical item of information will often turn up in the files of the Foundation Library Center, in conversation with someone on the foundation's staff, or with someone else who is a friend of the foundation's donor, or of one of its officers or directors. Even such matters as the temperament of foundation staff men are important. In one instance, the head man of a prominent foundation says "No" so often that this may be his chief function. He is a kind of Abominable No-Man, and you try to circumvent him.

To be sure, there is never enough time to do everything the way it ought to be done, and even if there were, you must beware of spending so much of it on legwork that you never get back to the typewriter, write up the proposal, and get it to the prospect--delivered personally or by mail.

Since you will have heard all that needs to be said about legwork from Bob Brossman at this morning's session, perhaps we should devote most of this session to the proposal itself.

In the first place, what is a proposal? Webster defines it as "stating something for consideration", which covers everything from a request for money to an offer of matrimony. In either case, it will have a better chance if it is brief, rather than long-winded. Conciseness is even more important in propositioning a foundation executive--who is proposed to dozens or even hundreds of times a day(depending upon how much he has got and how generously he bestows it), than it is in proposing to a young lady, who may think she will be asked only once and might like you to play several variations on the theme, before asking the question.

What form should a foundation proposal take? That depends both upon the foundation and your relations with it. In many instances, it can be as simple as a letter from the college president, addressed to the president of the foundation or to some other officer who handles grant applications or is in charge of some aspect of the foundation's program in which you are interested. The letter may either state the case itself or may serve as a cover for other materials enclosed with it.

Occasionally, a proposal can be made verbally, sometimes without even the necessity to follow it up in writing. To cite a specific instance: One college I worked for had received a $50,000 grant from a foundation some years ago, and we were waiting for the proper time to play Oliver Twist and ask for more. Our approach was clear, since one of our trustees also served on the foundation's board. But the timing was delicate, because the daughter of the foundation's founder was suing the trustees because she did not like the way they were administering the funds. Under the circumstances, we had to be patient--until I read in the morning paper, a few hours before one of our monthly committee meetings on development, that the court had thrown the lady's suit out, clearing the foundation's board. When we sat down around the table later that morning, I congratulated our trustee on the outcome of the suit and asked him if he thought this cleared the way for considering another $50,000 grant for us. He said he didn't see why not, and agreed to bring it up at their next meeting. Two weeks later he reported that the grant had been approved. This was the easiest foundation grant I have ever been involved in. I do not need to tell you that the great majority are a lot tougher than that one, and that the typical proposal may take months to put together, only to go the rounds like the manuscript of a bad novel.

At this point, I probably ought to read, word for word, Manning Pattillo's address on "Preparing the Foundation Proposal." I hope many of you either heard it at American College Public Relations Association's Foundations Workshop here in New York in November, 1962, or that you have read it. For it has been widely published: in ACPRA's Understanding Foundation Support for Higher Education, 1963; in the Foundation News for July, 1963; and most recently in Emerson Andrews' Foundations: 20 Viewpoints, a paperback which I recommend to all of you.

A brief quotation from the Ford Foundation's useful little pamphlet of last November, American Philanthropic Foundations, may be in order here: "Most foundations do not use formal grant-application forms. Applications consist, rather, of written proposals whose preparation need be guided only by criteria of clarity and common sense. The application should include details about the objective of the proposal, the methods for carrying it out, the persons and institutions involved, and the approximate budget."

Many foundations say much the same thing, in their annual reports.

These foundation reports can be very helpful. The Foundation News lists them as they are received by the Foundation Library Center. If you will watch for this listing, check The Foundation Directory for the basic facts on those you think you might take a shot at--to be sure their geographic limitations or other restrictions do not exclude your institution--and then write for those you would like to have, you will quickly build up a useful collection of them. A foundation usually tells all--well, almost all--in its annual report. Here you will learn not merely what grants it is making to which institutions for what purposes, but according to what philosophy, carrying out what programs, and with what staff, officers, and directors. If they stipulate any guidelines for submitting applications, this is where they will be spelled out. Moreover, the officers will appreciate your having informed yourself on these points, which are calculated to keep you from bothering them with proposals they cannot entertain.

Perhaps it will help if, at this point, I get hypothetical. Let us suppose that your institution needs a new fine arts center, which may cost about $1,200,000--based on what comparable colleges are paying for new fine arts centers these days, as reported in the John Price Jones Philanthropic Digest. You have carefully noted all recent foundation grants for fine arts centers listed in the Foundation News, the largest being $750,000 from the Richard King Mellon Charitable Trusts in 1963, to Bennett College for its new arts center. If this outfit likes Bennett, why should it not do as much for your college?

Like any good college president, you turn first to the bible--I mean, of course, The Foundation Directory, although intercessory prayer is also recommended. You find that this Pittsburgh foundation's assets exceeded $82 million in December, 1962, so there must be plenty left over for you. You are a little troubled to read that the foundation gives special emphasis to projects originating in Pittsburgh--especially since this seems to be confirmed by practically all the grants you find attributed to it in the May and November issues of the Foundation News. But this rather unsettling geographic emphasis is obviously not a flat restriction, since Bennett College is located in Millbrook, New York--nowhere near Pittsburgh.

So you proceed, asking your trustees if any one of them happens to know Mr. Richard King Mellon. They do not. How about the other trustees of the Foundation, including Mrs. Mellon? No, none of your trustees knows any of them. You check with the president of your Pittsburgh alumni club, in a phone call, making it clear that this is a confidential matter. No help. And then, because you know him pretty well and keep running into him at conferences like this one, you catch Donald Eldridge's ear and ask him if he will tell you how he did it? How did he get that Mellon grant for Bennett's new arts center? Is there any special entree to that foundation? And you learn that Mrs. Richard King Mellon is a Bennett alumna, of the class of 1930. This information does not really help you a bit, but it does untrack you, turn you around, and start you prospecting in some other direction. You have at least saved the round trip, tax-exempt, jet coach fare to Pittsburgh.

That little parable is intended to indicate the nature of legwork, and how it will sometimes lead you up a blind alley. It does not say much about writing a proposal. So let me tell you another story or two, containing some of these guidelines advertised for this session. I will have to change the names a bit to protect the innocent: namely, me. But I hope the moral will still be discernible.

At one of the women's colleges I have tried to raise money for, the father of one of our alumnae was one of the richest men in this country. He was on that famous list of seventy-five multi-millionaires published by Fortune in October, 1957; below J. Paul Getty, the four Mellons, H. L. Hunt, and the Arthur Vining Davis and John D. Rockefeller, Jr., but well up with the rest of them. As soon as I found his name in our parents' file, I shifted my legwork into high gear. What I learned was not very promising. But I am not easily discouraged. The gentleman's daughter had not been very happy in college, and stayed only two years. She left on her own recognizance, and not, I was happy to find, at our dean's request. Her father had sent us two small contributions during her brief undergraduate career and two since her departure. He was apparently not mad at us.

He had a foundation, naturally. It was a big one--one of the ten largest. But its grants were limited to its own geographic area. Luckily I was able to find a few exceptions to this: grants to his own alma mater, in another part of the country.

The first order of business was obviously to talk to the gentleman, or to find someone who could talk to him on behalf of the college. This we managed, catching him aboard a plane. The college's hopes were mentioned in this conversation, and his response was reported to us. It was not very hopeful, since we did not happen to be located within his foundation's geographic area. But it was not an outright refusal.

Legwork had now taken us about as far as it could. It was time to write the proposal. This we did, asking for $500,000 to endow a chair--suitably named--and to support a program of student and faculty research in the only area of our curriculum I knew the foundation was interested in. But when you are asking for half a million you do not just mail the proposal off under an 8 cent stamp--not if you can present it in person.

So we wrote to the gentleman, asking if the president and chairman of our board of trustees could fly out and talk to him about this. The proposal was typed and signed, ready to be dated when we got the green light. It was brief--only three pages, double-spaced, and with wide margins. It was also compelling, if you will take my word for it. But I cannot prove this, because instead of a green light we got a check from the old gentleman, drawn on his foundation. For $500. The sweetest kiss-off, our board chairman said, he has ever seen.

A kiss-off it certainly was, if I understand that term. But looked at in the proper light (rose-colored glasses will do), we were $500 ahead of the game, and still perfectly free to try to make this gentleman see that we had him down for six figures, not three. He had now made five small contributions to his daughter's alma mater, not four. And some day it may be possible to parlay that obvious expression of interest into something more in line with his resources. Plus which, that proposal, slightly altered, can always be sent to other foundations. You might say that it is still pending. ("Still pending" often means it is at the bottom of a stack of proposals for each of which some junior secretary must send the usual letter of rejection, which always ends with some variation of: "I am sure you will be successful in obtaining the necessary funds from other sources").

While I am digressing, let me say that someone should request a foundation grant to study the politesse of the turn-down. I suppose the most famous one, attributed, perhaps apocryphally, to a former top executive of the Rockefeller Foundation, went to a college president who had submitted an elaborate and exhaustively detailed proposal calling for a grant of one million dollars. The operative phrase in the rejection letter read: "I have nothing but praise for your proposal."

Along this line, I once told Jim Armsey, going up or down in some elevator, that someone should ask for a grant from the Ford Foundation to determine how many college presidents have had heart attacks or strokes, while trying to raise the matching funds for one of his special program grants. It must have been an up elevator, because after he got off I wished I had said, "As long as you're up, get me a grant."

But back to those guidelines. Have you gone through your files to see where the major gifts, grants, and bequests to your college have come from? In most cases, these major donors--dead or alive--are still your best bets. Don't pass over a card marked "deceased." There may very well be more where the earlier grants came from. If the original donor is dead, his estate may have gone into a foundation. I remember going through the files once and coming across the card of a deceased alumna from Texas who had given us $125,000 through her family's foundation. The foundation was still going strong, giving money away to worthy causes, in grants ranging up to a million dollars, but, like most Texas foundations, keeping it in Texas. I dug into our correspondence files, found that this lady's father--who established the foundation--had made several contributions while his daughter was still an undergraduate. His letters to the president of the college were warm in their praise of the education his daughter was getting. Her letters, thirty years later, were even warmer in recollection of "the four happiest years of my life." They expressed her pleasure at being able to steer first $100,000 and then an additional $25,000 from the foundation to her alma mater. She said she hoped that these would be but the first of many such grants. But then, alas for her--and us--she died.

Well, given ammunition such as this in the files, it was not difficult to write the proposal. But remembering my past experience with Texas foundations, I knew that a little more legwork was in order. We went to see the lawyer who serves as a trustee of this foundation, and screens all its applications. Although initially doubtful of our chances, because the foundation's grants are almost invariably confined to Texas institutions, he thought we had a case when he read those letters, and suggested that we make them part of our request. He also asked us to supply him with six copies of our proposal (a Xerox machine is handy for this), so that he could transmit them to the other trustees before their annual meeting in Texas.

We submitted those six copies of our proposal very hopefully, as you can imagine. It asked for $500,000 for a wing--to be named for our late Texas alumna--of a new building. The proposal ran to four pages. Supporting materials included copies of that earlier correspondence and sketches of the proposed new building. After a wait of two months, the lawyer returned from the meeting and reported that our proposal had been turned down. He said that the foundation intended to lend its support, at least for the next few years, primarily to educational institutions in the Southwest, since the educational needs there are extremely urgent. (In other words, keep it in Texas).

A final story: In one of my former incarnations, we had long had an eye on a major foundation right in our own backyard, to which we had never found the right approach, chiefly because the foundation was run by an elderly lawyer, who was not very approachable. Medicine seemed to be the foundation's chief interest, and thus most of its grants went to university medical schools rather than to small liberal arts colleges. But one day, reading through our college's first catalogue for some information on an unrelated matter, I came across the name of a long-dead young lady in the class of 1875 who had the same name as the foundation. Research in our yellowing archives showed that she was, in fact, the sister of the man who established the foundation. Moreover, she had devoted her own career to his company and at her death had left a considerable estate of her own to the foundation.

Shortly after this discovery I found myself seated next to the husband of one of our alumnae trustees at a dinner in the president's house. I knew nothing about him except that he was a lawyer, but when I asked if he happened to know the old gentleman who now administered this foundation, he said, "Indeed I do. He is a senior partner in my law firm."

(Legwork, you see, sometimes takes place under the table). He agreed to speak to the senior partner on behalf of the college, and to ask if he would entertain a proposal for help in building our new student center, which we would be happy to name for that alumna of the class of 1875. He reported not long afterward that the senior partner had not been aware of our college's connection to the foundation's founder. (Neither had we been). He would be glad to consider our proposal, but didn't we need a new infirmary? Of course we had a health center, but since it was already too small for the growing college, we said yes, and quickly asked our architect to come up with plans for a new one, as well as plans for making some other use of the old one. The upshot of all this, several months later, was a grant from this foundation, for $550,000, the full cost of the appropriately named new health center.

I am not sure what the moral of this one is, except that the foundation ball can take some unexpected bounces, and you must be able to cover the field the way Willie Mays does. In fact, where foundation grants are involved, it would be a good idea for all of us to emulate Willie's famous basket catch.

THE ESSO EDUCATION FOUNDATION

By George M. Buckingham, Executive Secretary
Esso Education Foundation

The Esso Education Foundation is not an operating foundation in the sense of having a large staff of professional specialists studying, evolving, implementing, and supervising programs approved by its trustees. However, it is a working foundation with a staff of six, with two spending full-time and four spending 75 per cent of their time on foundation affairs. The other 25 per cent of the time of the four is devoted to contributions matters of Standard Oil Company (New Jersey) and its affiliates operating around the free world.

In addition to staff, the foundation retains five prominent educators on a rotational basis for advice and counsel. The educators meet once a year for two or three days with the administrative committee comprised of ten executives from the Jersey company and domestic affiliates supporting the foundation. On this occasion the whole group of fifteen meets for a couple of hours with the Jersey board, whose executive committee, plus the president of Esso Research and Engineering Company, currently make up the Foundation's trustees. The administrative committee also meets on call as required and the trustees normally meet twice a year.

The foregoing introduction is simply to make clear that the Esso Education Foundation's policies and programs are the result of hard work and thorough discussion each year by a broad spectrum of interested and knowledgeable people.

Let it be said that we do change, and we do not have all the answers.

The foundation normally retains as a reserve against less prosperous times a sum equivalent to one year's outlay.

We are projecting an expenditure of $2,350,000 for 1965-66 on three programs. We expect total grants of $1,875,000 under our regular program which is limited to regionally accredited, privately controlled, four-year, undergraduate colleges and universities and to associations such as the American Association of Junior Colleges. On the other hand, all nonprofit, degree-granting, post high school institutions are eligible under our Incentive (matching grants program) and under SPUR (Support for Promoting the Utilization of Resources) which together should total $475,000 over the next academic year.

Very briefly, the regular program is planned to include:

$700,000 in unrestricted grants for undergraduate education at some 180 institutions exclusive of the United Negro College Fund members.

$600,000 for capital and development purposes.

$200,000 in grants for graduate education at perhaps fifty university engineering and science departments.

$375,000 for miscellaneous projects, ranging from an in-service institute for high school teachers of English at Columbia University, to the recently announced Esso Faculty Fellowships designed to strengthen the faculties of Negro institutions.

Most of the regular program involves direct financial aid to colleges and universities. Eligibility is limited to the private institution, since the companies that make the foundation possible are already contributing rather generously via the tax route to public higher education. The vast and still unmet needs of the four-year schools prompt us to continue directing these resources in the direction of the senior colleges and universities.

On the other hand, when we were discussing a matching grants program, it seemed to us that since we were trying to encourage a growing concern for the values of higher education among many individuals, which they hopefully would translate into personal contributions, we should incorporate broad eligibility provisions. SPUR is in search of good, innovative ideas in areas of instruction, administration, and facilities wherever they may be found in higher education, hence eligibility was also extended to cover all public as well as private nonprofit, degree-granting, two- and four-year institutions.

So much for an overall picture of the Esso Education Foundation and now to some observations on junior colleges.

I think we would all agree that the junior college is important and necessary to our society and is daily becoming more important and more necessary, both in numbers and quality. Nevertheless, in the minds of some people around the country, the overall image seems not a little blurred. Is it a feeder for junior classes at four-year colleges or a training ground for cosmetologists? Is it to be a launching pad for future great classicists and scientists or only for lesser-ranking next generation leaders? Is it an academic or vocational institution for the young, or is it to provide a wide range of courses for adults? As a composite, it is of course all these elements and perhaps more. However, being so many things to so many constituencies (and quite properly so) may be a basic cause of myopic vision on the part of those who otherwise see very well indeed.

I have the impression that these institutions have not done well as a general rule in gaining corporate and corporate foundation support. I think there are reasons other than myopia. One reason is the historical concentration of business on the vast unmet needs of senior institutions mentioned earlier. Also, a very high proportion of the two-year colleges are public, and traditionally business has not been nearly as keen to come to the rescue of institutions of learning in the public sector, whether they be primary, secondary, junior, or senior. Moreover, there is a lack of visibility, particularly in the East or Northeast where the junior and community college is relatively new except for a rather small number of private institutions that have been in operation for a long time. Finally, recognition of the expanding role of the junior college in training technical assistants for research laboratories, etc., has been quite late in coming.

Prospects for support as we see them in the Esso Education Foundation are not as bright as I know you would wish them to be.

It seems to me that the individual schools probably have the best chances of receiving direct financial aid from those business installations in their immediate neighborhoods, that employ significant numbers of their graduates. Also, there may be some possibilities when the junior colleges can clearly demonstrate that they do play constructive educational roles in the community in general, and for the employees in particular. In other words, I think junior college administrators should not hesitate to approach local businesses for financial support when they number among their sales tools "bills for services rendered." Of course, one should remember that the local managers and owners must have profitable operations before they are in a solid position to think seriously about expanding their contributions beyond United Funds, et al, and any present programs of aid to education which they may already administer.

As I have mentioned before, junior colleges are eligible under both the Esso Education Foundation's matching and SPUR programs. The SPUR program, of course, is looking for good ideas wherever they may exist in post high school institutions. It seems to me that if a given two-year college can demonstrate that it has a unique project that would make a real contribution to education in general, it may have a sound case at the national level, although the project would have to be exceptionally good to win out competitively. It is a fact that petitioners do compete one with another for corporate and foundation dollars as clearly as business competes for customers' dollars. From our standpoint, over and above SPUR we would be inclined to look carefully at those proposals which potentially affect broad areas, even though the current policies governing our regular program preclude assistance to publicly controlled institutions or to individual junior colleges.

However, as mentioned earlier we can and do make grants to educational associations. As an example, the Esso Education Foundation did make a $50,000 grant to the American Association of Junior Colleges for the purpose of implementing the Berkeley studies on the problems of students transferring from junior to senior colleges. This was a case of the Office of Education having provided substantial funds for the research with nothing available for refining and applying the data. We think the junior colleges will qualify more and more students for transfer to senior institutions and that it is worthwhile to underwrite a project that may well make a real contribution to the success of this movement.

I believe we would like to find other sound projects constructively involved in other aspects of the two-year institutions.

We, as part of the private sector, believe we should pay attention to channeling significant portions of our funds into potentially meaningful pilot operations or studies, particularly when public money is not available or is not likely to become available within the foreseeable future.

The things we are interested in are those which, if successful, would benefit a number of institutions and ultimately large numbers of students. An idea likely to benefit only one college would have much less appeal.

It is certainly not my purpose to give undue encouragment, since in addition to the policy problems already mentioned, our funds are limited and the last thing we want to do is to cause useless wheel-spinning and the expenditure of significant amounts of time or energy (money, that is) in conjuring up proposals that would have small chance of being underwritten by us.

Our doors are usually wide open, and if a germ of a fresh idea or a fresh look to an old idea of high potential should occur to you, don't hesitate to make an appointment if you expect to be in the vicinity of Rockefeller Plaza. Should you be inclined to write, keep it to a page or a page and a half at the most. Details can always be requested if the bait looks tasty enough for us to nibble at your line.

My thanks for inviting me and our best wishes for the continued success of your organizations and your member institutions.

THE FORD FOUNDATION AND THE JUNIOR COLLEGE

Edward J. Meade, Jr., Program Associate
The Ford Foundation

There should be no need for me to belabor the point that foundations, and in this case I refer particularly to the Fund for the Advancement of Education and the Ford Foundation, have a sincere interest in the affairs of post high school institutions such as those represented by your institutions. In saying this I realize, too, that officials of the American Association of Junior Colleges could rightfully point to the fact that these two respective foundations have not manifested this interest by any lavish display of wealth. To date, our grants to such institutions have been few and far between and represent a relatively small sum of money in terms of the resources granted annually by us.

So much for the record and so much for the past. We are here today to talk about the present and the future. For me to talk about our policies with respect to your organization is not an easy task. In my opinion, a foundation worth its salt tries deliberately to have as few policies as it can and still provide a sane, intelligent and reasonable program. If there is one thing foundations must have if they are to assist change in educational practice and institutions, it is flexibility. I know that from where many of you sit, it is hard to believe that any foundation has ever been flexible, particularly when you get that cold letter of rejection or that flat "no" from a foundation official's office. Nonetheless, I believe this is true in most cases. In my experience with the Fund and the Foundation, I have found that we have made some, even if few, exceptions to rules and that the few rules we have are reasonable and have not retarded advancement in the field of education. One such rule or policy that has provided and will continue to provide is that we do not have a program of general support for institutions such as yours.

You will recall that earlier I did not refer specifically to junior colleges, to technical institutes, or to community colleges for I don't think it is possible to make a very clear separation in these various kinds of institutions--each of them falls within the natural sequence of education, each of them has a rightful role to play. Over time, each will undoubtedly become more and more like the other in terms of the kinds of students served, the number of programs offered and in its relationship to what education goes on before and what education goes on after.

As I have had the privilege and opportunity of rubbing elbows with officials from the world of community and junior college and the technical institute, I have seen that there are definite, unique contributions that can be made at this level of education. Your institutions are unique.

You are not reflections of the local high school nor should you be "little Harvards" or extensive research organizations. You are what you are--unique institutions in the middle of education--an enviable position. I doubt if anyone seriously questions the fact that the future of technical education rests at this level. One needs only to scan the daily newspaper or stand on the street corner to realize that there is need for technically trained personnel in a variety of fields that is ever increasing, hardly decreasing. At the moment, the only institutions that seem to have the capability of carrying out this vocational assignment are the post high school such as those represented by yourselves.

Perhaps if we were all wiser beyond our years or had access to a crystal ball, we might be able to see beyond the mammoth social problems which are so firmly fixed in our domestic scene today. As our economic productivity grows and grows, as our technology increases, and as the time demands on human labor decrease, the need for all adults--unskilled, skilled, college trained, post doctorate or what have you--to make better use of their free time will become the issue of the times. Where and how does one continue his education without having to sign up for formal courses or programs. Please do not misinterpret me, I am not recommending the adult education classes that permeate our high schools. While I have the utmost respect for basket weavers, record players, and ladies who wish to reduce, I am talking about education to satisfy one's thirst for more knowledge and insight into the nature of man and the nature of his world. At the moment, the only institutions which seem to have the flexibility to offer this free wheeling type of program would be the post high school institutions, the junior colleges and community colleges.

So far, I have suggested a growing vocational technical role and a strong and flexible adult education role for your institutions. What about a place in the sequence of education and the role you can play in general education? Let me try to answer that in as brief a time as possible. It is my firm belief and it follows what we believe in the Fund and the Ford Foundation, that all education programs should be designed in such ways that persons enrolled in them and who successfully complete them should have access to education beyond them. I doubt seriously if there is anything that can be called a terminal program. If a program is so designated, it represents a lack of imagination, persistence and desire in those responsible for such a program. They question the ability of the student and the ability of the institution. Although I did not come here this morning to offer a challenge, perhaps one is in order. It is simply this, are institutions at your level of education trying to integrate the various strands of education you offer--transfer, terminal, etc.--in such ways that each offers what one might consider good general education and that each in combination with, or apart from, the others offers access to further formal education beyond the institution?

Enough challenging. I was asked this morning to talk about foundation policies. I said we have as few as we can get away with. To the extent possible, we are in the business of helping to develop new patterns, new alternatives, and new sequences of education. We make institutional grants for experiments, demonstrations, innovations and the like. In general, we do not do much in the way of support of basic research or studies. We do have a rather strong policy against capital expenditures of any kind. We are not in the brick and mortar business nor do we wish to subsidize institutions to increase faculty. But these are not unusual foundation policies--they exist in many other foundations as well as in the ones which I represent.

Beyond that, it is hard to talk about such policies. You have had experts talk to you about lead time, site visits, the frankness of discussions one should have with foundation officials, and the knowledge one should have before one comes to any particular foundation. For example, many of you may not have visited the foundation library. You should. The best way for us to help you is for you to understand what we are about. Know what we have been doing--know what our general point of view may be and be prepared to change it if you think it necessary. Foundations are to be used for the one thing they have--money. You can only use such an agency when you understand it.

Forgive me for not satisfying your thirst to know all about policies of the Fund for the Advancement of Education and the Ford Foundation. As I have indicated for the moment it is not worth talking about. As for the administrative steps necessary to go through for grants--there are many. It is our responsibility as Foundation staff to act as your brokers once interest and commitment have been secured.

What is worth talking about are some of the interests we have with respect to your institutions. Permit me to mention just a few.

QUESTION: Where shall we find the teachers and other staff needed for your institutions and how shall we train them? I refer to the teachers who are needed to staff your institutions and those that are coming as more and more states adopt new policies to open more and more community colleges.

QUESTION: Although the relationship of community and junior college to the four-year collegiate institution seems to be clear, what is the relationship of your institutions to the high school? Are there overlapping sequences of curriculum in the upper high school years and in the two years beyond high school?

QUESTION: What, if anything, represents the general education program in your schools? In other words, what should everyone who goes to your institution have to take? Nothing, something--and if something--what something--or everything? At any rate, what the general program to be offered in your institution ought to be intrigues us.

More specifically, there are other interests--particularly in the vocational-technical field. For example, what kinds of curriculum are necessary to educate the many new kinds of technical personnel we need.

I am not referring necessarily to the traditional technology fields. There are many new ones emerging in the service trades and in the professions.

In summary, let me say this: your institutions are here to stay. We are not interested in proving that they are. We are not interested in building more of you--that will be done better without us. At the moment we have not seen any research or study activities which we feel are fundamental enough to make a difference to what happens in your institutions. However, we are vitally interested in the curriculum or programs offered in your institutions. We are interested in how your institutions relate to the rest of the sequence of education, particularly in the field of general education. We are interested in how the most important resource--your faculty and staff--is procured, trained and retrained.

With that in mind, we expect your requests.

THE CARNEGIE CORPORATION

By Arthur L. Singer, Jr., Executive Associate
Carnegie Corporation

There are over six thousand foundations in the country which have assets of $100,000 or more, and there are about nine thousand smaller foundations. The great diversity among foundations in size, scope, and purpose makes generalizing difficult.

Reference is frequently made to "the big three"--Ford, Rockefeller, and Carnegie--but in reality there is "the big one" with the others trailing along behind. Each year the Ford Foundation makes grants totalling more than twenty times those of the Carnegie Corporation.

I might explain why my organization is called the Carnegie Corporation, an unusual label for a general-purpose foundation. In 1911, when the corporation was founded, Andrew Carnegie had already used the other words that might be more appropriate for a philanthropic trust. He had previously founded the Carnegie Endowment for International Peace, the Carnegie Institution of Washington, the Carnegie Foundation for the Advancement of Teaching, the Carnegie Institute, the Carnegie Institute of Technology, the Carnegie Hero Fund Commission, and other Carnegie trusts in Great Britain. Although non-descriptive, the word "corporation" was used to designate the general-purpose, philanthropic foundation which he established with the balance of his estate.

Mr. Carnegie's first letter of gift established the corporation in 1911 and reads as follows:

> The purposes of the Corporation will be to promote the advancement and diffusion of knowledge and understanding among the people of the United States. Conditions upon the earth inevitably change, hence no wise man will bind trustees forever to certain paths, causes, or institutions. I disclaim any intention of doing so. On the contrary I give my trustees full authority to change policies or causes hitherto aided from time to time when this in their opinion has become necessary or desirable. They shall best conform to my wishes by using their own judgment.

This was a remarkable statement, particularly for a man who had strong personal opinions on many subjects. Yet he left the corporation policy determinations to the judgment of the trustees as they have come down through the years.

When one reviews general-purpose foundation reports, it is possible to get the impression that there is no evident rationale for the pattern of grants over a period of years. This is not a wholly false impression since foundations are made up of changing groups of individuals who respond differently. The staff turnover in almost all the major foundations is fairly frequent which accounts in part for changes in program interests. To try to defend too systematic a set of policies or programatic interests would not be an accurate reflection of the case. There are, however, some underlying themes in Carnegie Corporation's pattern of philanthropic giving that have been present throughout its history.

First is the encouragement of individual growth. This is reflected by grants in support of fellowship programs that are operated by the American Council of Learned Societies, the Social Science Research Council, the Woodrow Wilson Fellowship Program, and organizations that exist to support individual scholars or teachers. We operate a travel grant program for exchanges between the British Commonwealth countries and the United States. Our "reflective year" fellowship program is designed to provide leading scholars an opportunity to take a year away from the pressures of university life. We also offer occasional travel grants to college and university presidents to get a breather from their responsibilities.

A second underlying theme is assistance in the setting of standards for professional education. The Flexner report on medical education in the United States and Canada in 1910 was supported by the Carnegie Foundation for the Advancement of Teaching just prior to the establishment of the Carnegie Corporation. We have continued to support this kind of study, either by a disinterested outside observer such as James B. Conant, or by professional associations, or by a group within a profession who are concerned with education in their field. Grants have been made in the fields of architecture, dentistry, engineering, forestry, library work, nursing, business, social work, and teaching.

A third underlying theme is the support of demonstration projects or educational experimentation. We look with pride, for example, to early support of the first innovators in the development of new curriculum in elementary and secondary school mathematics.

A fourth underlying theme is the support of facilitating organizations within the structure of education. It is hard for a foundation such as ours to be responsive to individual requests from junior colleges. There are over 800 institutions which bear the community junior college label and it's difficult for a foundation to find points of leverage within this very large-scale structure. But we have supported your own Association, the AAJC, as well as other kinds of professional associations in the fields where it is difficult to have any particular leverage or impact with our dollars in individual institutions. We help finance, therefore, fellowship programs, conferences, and committee work of organizations like the ACE, ACLS, SSRC, WICHE, the Institute of International Education, and the American Association of Junior Colleges.

A fifth theme, the dissemination of research findings, has been a continuing interest of the Carnegie Corporation. This is illustrated in a variety of ways. We publish the Quarterly which reports on results of our grants. This is not a publicity piece but a dissemination device to try to spread the word more generally about programs of research and educational experimentation that we have supported. We also have the Carnegie Series in Education which includes Mr. Conant's studies of high schools, slum schools, teacher education, and his recent book on shaping educational policy. Included in the series is Leland Medsker's book on the junior college.

A final underlying theme is the support of research in the social sciences, particularly in psychology and international and public affairs.

Ed Meade made a point which I would like to underline. Foundations are not monolithic institutions which are on one side of the net with applicants on the other. It isn't a tug-of-war between foundations and applicants; it is rather that foundations need to be educated about the problems you face and about the experiments you wish to engage in. You must convince a foundation officer of their validity and significance, and he will in turn act as your broker or representative within the foundation. The nature of the process is one of reciprocal education about the importance and potential fruitfulness of any particular educational experiment or research project.

Raymond Fosdick, in Foundations: Twenty Viewpoints, has written:

> There is a common fallacy--and even some foundation executives may not be immune from it--that money can create ideas and that a great deal of money can create better ideas... (But)there is no substitute for brains. The difficulty is the lack of men with fertile spirit and imagination, men with basic training or with flaming ideas demanding expression. For them there is no alternative; without them, money will purchase nothing but motion and futility.

THE UNITED STATES STEEL FOUNDATION, INC.

By W. Homer Turner, Executive Director
United States Steel Foundation, Inc.

I am greatly pleased to have been given the opportunity to meet with you and to share your concern with the ongoing role of the junior college. Certainly your relationship to the private sector--the resources to be found there--and the essentiality of establishing rapport with such voluntary resources is well worth the time you are spending here. I am greatly pleased to be associated with my long-time friends on the panel who comprise the true experts in the foundation world. Each is worthy of a small speech of gratitude on my part for the contributions he has made not only to the field, but to me personally, in my search for experience and knowledge.

In the eleven-year life of the United States Steel Foundation, Inc., with which I have been associated from its inception, our primary motivation--our reason for being--has been to provide as objectively as possible, a reliable resource to aid voluntary solutions to societal problems. Certainly no single foundation can attempt total solutions or sustain a dominant share, for needs have always--and will always--outstrip any single resource; however, each foundation here is addressing itself to, and coming to grips with, the primary problems so that variable solutions can be found.

Effective policies, procedures, and administrative techniques, while important to insure the reaching of this central objective, must necessarily evolve so as to retain the essential character of the role of the voluntary sector. Rigidity of policy and procedural concept--the constant insistence of the "dead hand of the past"--denies the very flexibility that gives unique value to the voluntary sector. In no sense, however, should anyone feel that random actions or emotional responses are the useful alternative to rigidity. In our instance, requests for assistance number at least 20,000 a year. Each request, no matter how seemingly ill-advised, has about it at least a glimmer of a solution of a problem that deserves the attention of someone--if only the author of the request. In my 20,000 requests figure I discount, of course, those remarkably few, obviously self-serving, and in some cases corrupt, proposals that we can expect will orbit any financial resource. Approximately 5,000 requests show promise and are worthy of careful review and analysis. Incidentally, the total of such "asking prices"--factored by our normal grant level--can easily exceed $100 million in any given year. In light of this characteristic of diversity of opportunity alone, rigidity in policy and administration would amount to an arbitrary screening system with no application of the essential ingredient--value judgment.

When the objectives of a foundation are established--in our case the general public welfare and research--the magnitude of available financial resources in a large measure dictates the necessity for some broad limitations if the purposes of the foundation are to be served. We, as a corporate-related foundation, are dependent upon the earnings of our donor corporation. This is in some contrast to foundations with a sizable corpus permitting grants not only related to the earnings of the corpus but, in some cases, distribution of the corpus itself.

As our 1964 annual report demonstrates, our annual pay-outs are from $5 million to $6 million a year. If this pay-out were related to earnings of an established corpus, the basic resource would have to be in the magnitude of a quarter of a billion dollars.

In terms of aid to education alone our program has at times exceeded $2.5 million, compared to the Carnegie outlay of $12 million in a typical year. Therefore, it is obvious that if the objectives and purposes of this foundation are to be met, broad policy agreement must be reached as to the deployment of resources, and within these broad policies a programing function should be established to insure an orderly and useful deployment of available funds. As I have previously stated, no single foundation, however large, can have lasting import in all major divisions of need. Programing, therefore, must be selective.

Quite obviously there also are legal restrictions, geographical considerations, and staffing realities which affect the programing of funds. We are deeply conscious of the essentiality of limiting foundation overhead and headquarters costs to insure that the overwhelming majority of the financial resources available to us are devoted to the purposes delineated in the foundation's charter. Therefore, policies and program requirements are real and present. Discussing techniques, of course, would require far more time than it would be useful to spend here. The normal requirements of intelligent staffing and administrative procedure occupy a portion--sometimes begrudgingly given--of the time and energy of the administrator. Evaluation of the consequences of actions taken in the past consumes another significant segment of limited time, but unless intelligent post-auditing exists the expensive experience of the past is lost to the solutions for the future.

Communication with the wide variety of individuals, agencies, and locations is in itself a major problem. Not only is it a problem of logistics, but of analysis and sensitivity to the "overtones" inherent in meaningful contact between people and those strange mechanisms called associations, institutions, or even committees.

You may be aware of the minimal publicity attendant to the activities of the United States Steel Foundation. As previously mentioned, our annual report and a few press notices, largely related to aid to education, can hardly compete with the great news of each day. Perhaps if we employed a typical public relations device our "drum" would not be so "distant." But I can assure you--as indicated by the number of requests received annually--somebody knows we are in business. Greater publicity might merely accentuate the numbers. Will you then forgive me for telling you just briefly of some our programs?

In the social welfare program we provide major community support to the voluntary agencies in more than 150 communities throughout the United States--in addition to substantial, especially handled, overseas activities. Certainly we do support the familiar social welfare "causes" generally related to the United Funds concept. But we have, as well, endeavored to meet the unusual and unique through creative giving on a direct basis. For example, the training of professional people who will provide the leadership for the voluntary sector in health, welfare and particularly youth-serving agencies is specifically supported.

While the dollars involved are small in proportion to the ongoing expenditures of the voluntary agencies, the needs for skilled professional leadership--as well as volunteers--are imperative. It might be said that we should do this if only to insure the wise expenditure of the millions of philanthropic dollars granted to such agencies. This is a very real reason in itself; but, more significantly, if we believe that a unique American phenomenon is the voluntary role of the private sector, we must similarly insure the continuity of leadership of this important private characteristic. We also strategically sustain other aspects of public affairs in the fields of music, drama, literature, and the other arts. Our medical program, which approximates $1 million a year, not only devotes itself to research, facilities and manpower, but to the sustaining of the unusual and sometimes untried techniques. Of course, one always runs the risk of joining with failures and the unpopular, but the consequences of success are always so overpowering that such risks are fully outweighed. I well remember our first grants of three quarters of a million dollars to the University of Pittsburgh, made available in part to the then unknown man named Jonas Salk and, more recently, our association with the discovery of the remarkable correlation between bovine leukemia and human leukemia.

In the area of basic scientific research and research in the humanities, we have ranged from the field of molecular biology to the publication of scholarly works. Quite interestingly there is a common denominator with one unique difference between the two. In molecular biology, failure to support now may merely delay discovery. In the field of humanities and scholarly works, availability of the material may be on a "last chance" basis and, if this chance is not seized, the value of the undertaking can be lost for all time. Despite the great growing body of knowledge of the Arctic and Antarctic, exciting areas of study and exploration remain and understanding of the "seas around us" has barely begun.

This leaves the vital area of education. So far we have distributed something over $25 million in four or five main directions. We have assisted, and still assist, over 725 four-year institutions every year throughout the country. This means that we are supporting virtually every four-year accredited college in America, as well as about seventy-five professional and technical organizations which serve education. We make 800 to 900 grants for education annually.

The operating aid to the institutions I have named is primarily for faculty salaries and faculty improvement. No accredited four-year, private-sector institution, so far as I know, is granted less than $1,000 annually--a typical sum is between that and $2,000. So you see, at the end of ten years every such institution has received between ten and twenty thousand dollars. We also have assisted nearly three hundred colleges with capital or major purpose grants.

We have a separate program of assistance to the once-in-a-generation problems of financing, or overhauling institutions, and we have been able to give special large-scale assistance to a limited number of such institutions. We, of course, grant unrestricted support every year to all of the great universities under private control.

The final area is that of student aid, where, in addition to loans and fellowships, we provide other forms of assistance. We have assisted some 500 individuals--brilliant students and of all minorities. But, unlike some of the great foundations which have preceded us, all of our grants are made directly to the educational institutions with administration of student aid performed by them. Additionally, by the end of this year we will have provided an aggregate of $200,000 to the two groups that are sponsoring this splendid workshop.

We hope shortly to provide funds for a major study of training and staffing problems on the teaching side for junior colleges. Our grant, we hope, will be $50,000 and may be announced within two or three weeks. (Editor's note--such grant was subsequently made to the American Association of Junior Colleges).

You have at hand a copy of a study on faculty benefits, "The Outer Fringe," as a result of a two-year program we financed with the Association of American Colleges Commission on Educational Finance, at approximately $50,000.

Another grant of the same magnitude which is about to go forth is to apply management and planning techniques developed in consequence of the national space programs to problems that are harassing each of you--the prudential balance of emphasis among curriculum, staff, plant, and kindred needs.

We have granted some $200,000 toward improvement of teaching methods and development of learning theory, $400,000 toward the expansion of college libraries, and about $300,000 to aid the humanities.

We have developed an alumni-giving incentive plan open to all colleges (including junior colleges) which provides annual awards from $100 to $5,000.

We have spent about $500,000 in the area of improving the accreditation standards of institutions, about $1 million for predominantly Negro education, and more than $1 million on educational television, youth guidance, and career development programs.

I think this gives you a quick idea of the range of interests that we are trying to follow and explore in this, our first ten years. We hope in the next decade to keep at it and to gain greater skill in the deployment of our resources.

My subject, as assigned for this panel, was, as you know, "Policies and Procedures." Perhaps I have done little more than tell you, "yes, such do exist." What I have really tried to do, however, is to point out the magnitude of the opportunities that exist for disbursement of limited funds and the broad scope of our response. It is within this context that thoughtful people must organize to insure that the purposes of the mechanism and the trust of those who created the funds can be justified. At times, particularly when the final heartaches are experienced in the establishing of a specific program, seeming chaos may be typical. But I can assure you the actions taken, even under this time of stress, are not random actions but the tying-off of the significant loose ends of an ordered process.

THE INTERESTS AND POLICIES OF THE DANFORTH FOUNDATION

By Manning M. Pattillo, Associate Director
The Danforth Foundation

Before beginning my remarks on the topic that has been assigned to me, I should like to compliment the American Association of Junior Colleges and the American College Public Relations Association on their sponsorship of this workshop. This is a program well-calculated to foster better understanding between two-year colleges and philanthropic foundations. While neither the colleges nor the foundations are wholly dependent on one another, much can be accomplished for higher education by a thoughtful consideration of the relations between these two important institutions. Junior colleges can be assisted by foundations to make their important contribution to American life, and foundations, in turn, can better achieve their objectives by being fully informed about the financial needs of junior colleges. This workshop, therefore, serves a useful purpose.

The Danforth Foundation is perhaps set apart from other large philanthropic organizations by two characteristics in particular: (1) it is devoted exclusively to education; and (2) it not only makes grants to other institutions and agencies but also administers directly certain programs of its own. It is, in other words, a combined grant-making and operating foundation working entirely in the field of education. For many years its activities were largely confined to higher education. Within the last year, however, it has moved more strongly into secondary education, and a lively interest in that level of education has now been added to its well-established efforts in higher education. The foundation has a professional staff of eight persons and expends $4-5 million a year. Half of its ten-member board of trustees are college and university administrators. Those of us who are connected with the foundation are proud of the academic complexion of our board and staff.

Through the years the central theme of the Danforth program has been the strengthening of liberal education, that is, education in the arts and sciences. This, of course, is the kind of education in which most of you are chiefly engaged. This emphasis has been clearly reflected in the appointment of personnel and in the use of funds, whether in undergraduate colleges, graduate schools, or, more recently, secondary education. The aim has been to support that which is broadening, that which is liberating, in education. Within this major purpose there have been several subordinate emphases. A brief review of these will give you a clearer notion of the guidelines which shape our program.

1. Better preparation of teachers: Every year a substantial fraction of the resources of the foundation goes into the selection of promising persons for teaching careers and into projects for the improve-

ment of programs for the education of prospective teachers. The Danforth Foundation is especially well-known for its support of several extensive programs of fellowships--the Danforth Graduate Fellowships, Danforth Teacher Grants, Danforth Indian Fellows, Kent Fellows, and Graduate Fellowships for Women.

The foundation is interested not only in helping able men and women prepare for teaching but also in assisting in the solution of the urgent problems facing graduate schools. Grants have been made in recent years to enable several universities to do a better job of preparing students for teaching as distinct from research responsibilities. Often, as you know, this aspect of graduate education is neglected. Washington University, Yale University, and other institutions have been given the means to develop experimental programs of apprenticeships in teaching for prospective college faculty members.

2. Extension of educational opportunity to disadvantaged groups: For many years the foundation has been active in efforts to strengthen the education of Negroes, especially in the South. Through the Southern Association of Colleges and Schools and in other ways Danforth has sought to provide better opportunities for Negro students.

The foundation has also felt that women had special needs in education and has set up a special program on the education of women. Our program for colleges in India is another illustration of this emphasis.

3. Citizenship and public responsibility: For several years the trustees have shown particular interest in a variety of projects and programs concerned with educating young people to assume their proper responsibilities as citizens. This will be one of the principal areas in our work in secondary education. Increasingly, educators are recognizing that conventional school and college curriculums do not do full justice to this important function. The foundation has made grants to a number of institutions and agencies that are pioneering in the development of better materials and instructional procedures in this field.

4. The personal element in education: In an age of mass education the individual student is too often lost in a factory-like operation. In universities this trend is accentuated by faculty responsibilities for research and publication. While recognizing the importance of the non-teaching activities of faculty members, the Danforth Foundation has for many years--in fact, since 1941--encouraged patterns of education that foster personal relationships between faculty and students. For example, it arranges for annual awards to distinguished teachers of undergraduates. It is currently supporting projects at New York University, the University of Southern California, Wayne State University, and other institutions that are attacking the problem of depersonalization in higher education. The results of these efforts are being observed and reported by outside evaluators with the hope that they can be duplicated in other universities.

5. Values and religion in higher education: Among the larger foundations, Danforth has been known for its long-time interest in values and religion as essential ingredients of liberal or general education. The Foundation has not espoused a particular set of values, but has tried, through its grants and operative programs, to stimulate concern among teachers and students for values in general. It has sponsored many conferences and seminars in which the role of values in the scholarly disciplines has been highlighted and examined.

As a matter of board policy, the Danforth Foundation is not currently making grants for endowment, buildings, and certain other purposes outlined in our annual reports.

Now, what about the junior college? The foundation has announced that it is prepared to entertain requests concerned with the improvement of junior college education. In the last three years it has made several grants to and for junior colleges, but I think it should be said that we do not receive many applications in this field which meet our criteria for grants. The number of significant proposals concerned with the basic problems of two-year colleges (unproved programs for the recruitment and preparation of junior college teachers and administrators, for example) is meager. We made a grant a few weeks ago to the St. Louis Junior College District for exploration of the problem of adapting general education curriculums to students with modest cultural backgrounds. Why did not someone propose this to a foundation long ago?

Due to shortage of staff time the Danforth Foundation has not had an opportunity to develop extensive efforts on its own initiative in the junior college field. We hope that this will be possible in the future. In the meantime I should mention that James W. Swift is the member of the Danforth staff who is responsible for grants concerned with two-year colleges. He is himself a former junior college teacher and has expertise in the problems of urban education. Many of you know him. He is the person to whom inquiries about the foundation's interest in this field should be addressed.

THE FREEPORT COMMUNITY COLLEGE FOUNDATION

By Earl F. Hargett, President
Brunswick College

During these workshop deliberations we heard Richard Taft of the Foundation's Library Center in Washington speak of five types of foundations. Today I suggest a sixth, that of the community college foundation, a not-for-profit corporation. An example is the Freeport Community College Foundation which three of us present have seen materialize and about which we would like to share with you some thoughts. Our presentation is in three parts:

1. John Korf, attorney, of Freeport, will discuss the formation of a local junior college foundation. He was the legal advisor for forming the foundation, and also serves on the board of education and the advisory council.

2. I shall present information on developing relationships between local citizens' organizations.

3. David Ponitz, superintendent of Freeport School District, will tell you of some of the dramatic developments which have occurred in this foundation's short time of existence.

You may be wondering about my role in the Freeport development. I had the pleasure of being the first administrative head of Freeport Community College. In Illinois, the head of a junior college operated by the public school board is known as a dean. Consequently, I was involved in all these initial developments, before I moved to Brunswick, Georgia, to participate in developing a new junior college in the State University System of Higher Education last June.

THREE CITIZEN ORGANIZATIONS

Miracles do happen. They are happening in Freeport, Illinois, the home of the historical Freeport Doctrine, and now the site of a new twentieth century Freeport Doctrine which features a cooperating, enlightened, and responsive citizenry working together for developing higher educational opportunities in the Freeport Community College.

My delightful task is to present to you a picture of how relationships can be resolved among three major groups of outstanding lay citizens who have an eager desire to participate, to assist, and to lend guidance in the developments of a new, two-year, community-type commuting college.

The three major groups with which I am concerned are:

1. The Board of Education of Freeport, Illinois School District #145. This body is the parent or legal guardian of the Freeport Community College.

2. The second group is the college's Citizens' Advisory Council. This group is the gadfly for formulating educational innovations.

3. The third group, the financial implementors, is the Freeport Community College Foundation.

INHERENT STATUS OF THESE ORGANIZATIONS

Mr. Korf has described the legal framework for the foundation's formation and operation with its built-in kind of controls. I shall provide a brief description of the status of the board of education and the advisory council.

The Freeport School Board, drawing on its legal authority from the School Codes of Illinois, is the policy making organization for adopting and implementing all necessary rules and regulations for the management and government of the public school under its jurisdiction. This spread of command includes grades kindergarten through fourteen; with the Freeport Community College considered as grades thirteen and fourteen.

The board has complete legal authority for the control and development of the newly established Freeport Community College. To provide assistance in the development of the college, the board has authorized and implemented the development of two independent organizations composed of citizens of Freeport School District.

These two independent organizations are the Freeport Community College Advisory Council and the Freeport Community College Foundation.

The Freeport Board of Education, relying heavily on ad hoc Citizens' Advisory Councils has been richly rewarded with efforts of such groups during recent years.

Generally the board defines a specific task area, establishes guidelines, and invites a cross-sectional representation of the citizenry to membership on an advisory group. Such has been the board's work with the present college's Citizens' Advisory Council which was formed in December, 1961, as an outgrowth of a former citizens' education study committee.

The present advisory council started as a fifteen-member group for the local school district, but has been expanded to forty members from a large area of Northwestern Illinois.

The board's charge to the advisory council was, and continues to be: "In concert with college personnel, study the college, study national trends in junior college development, and make recommendations to the board for changes in the college."

In the summer of 1962 the College Advisory Council recommended to the Freeport School Board "....the establishment of some form of legal receptacle to receive gifts in behalf of the Community College." Such authorization was quickly granted by the board for the formation of a State of Illinois not-for-profit corporation to be known as the Freeport Community College Foundation.

Through a series of conferences between the board and the advisory council, details of the foundation's articles of incorporation were resolved, which led to granting of the charter by the Illinois secretary of state.

DELINEATION OF RELATIONSHIPS

In 1962, even before the college opened its doors, those of us on the scene in Freeport realized the necessity of devising close, friendly, but formal lines of authority, responsibility, and communication between the board, the advisory council, and the foundation. To resolve such a working relationship among these groups was a most fascinating and heartwarming experience, primarily because of the quality of people involved and their bubbling enthusiasm for exerting energies and talents towards assisting the maturation of that infant college.

This is heartwarming because in any community junior college administrators will discover that close to 100 per cent of the citizens are for the college and will give lip service. In Freeport, about 27 per cent of the citizens signed a petition to hold a referendum to establish the college and some 40 per cent voted favorably for its establishment (as against 20 per cent no-votes, and 40 per cent not going to the polls).

Through the extraordinary efforts of the chairman of the Board of Education; chairman of the advisory council; chairman of the foundation; David Ponitz, the school superintendent; John Korf, an attorney and member of all three bodies; and myself as dean of the college, a number of premises were constructed on which to work out detailed lines of demarcation between the three organizations.

The major premise was to define the legal or delegated authority of each organization.

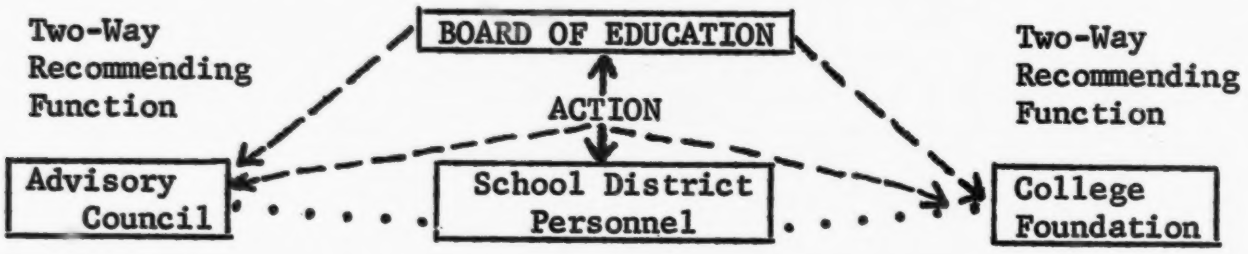
This is the way it was resolved in Freeport:

1. Board of Education: a policy making group of lay citizens having legal authority for the Freeport Community College.

2. The College Advisory Council: a body of lay citizens acting to initiate "non-material" ideas to aid in college development and to make recommendations to the board of education for the education program and its supporting elements.

3. The College Foundation: a group having legal authority within a corporate structure to act as the initiator of ideas for providing "material" resources, augmentation of facilities and the educational functions of the college with any action they may propose needing the "in concert" endorsement of the board of education.

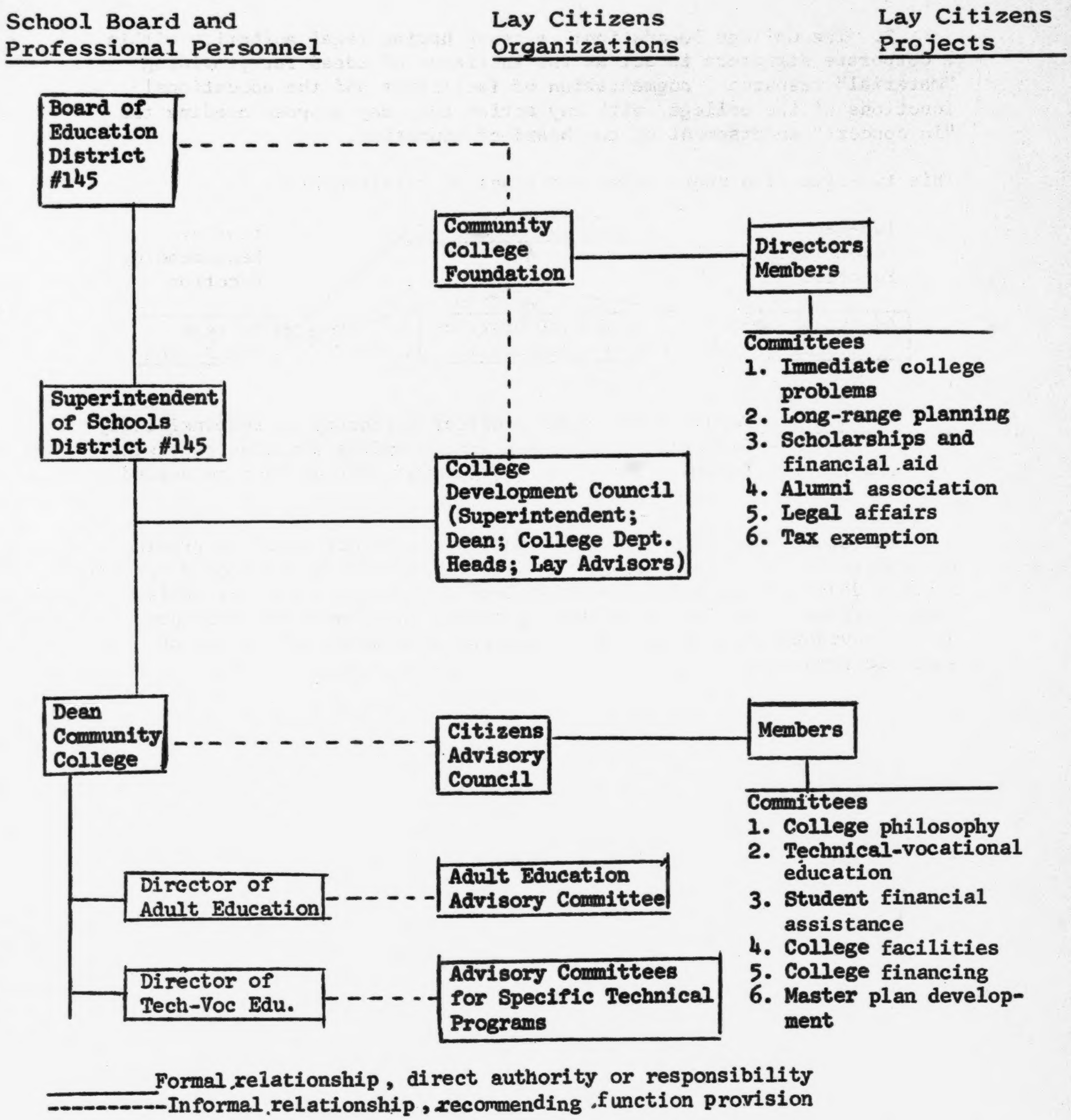
This two-dimension chart shows the lines of relationships:


Two-Way
Recommending
Function
BOARD OF EDUCATION
ACTION
Two-Way
Recommending
Function
Advisory Council
School District Personnel
College Foundation

____________Formal relationship, direct authority or responsibility
------------Informal relationship, recommending function provision
. . . . . . Informal lines, to provide information when requested

The second requirement was to construct a relationship to provide an opportunity for lay citizens in each organization to work on a specific college development, and to set high levels of expectations of their contributions. The following chart presents the committee structures of the advisory council and the foundation as a means of working on specific projects.

(OVER)


School Board and Professional Personnel
Lay Citizens Organizations
Lay Citizens Projects
Board of Education District #145
Community College Foundation
Directors Members
Committees
1. Immediate college problems
2. Long-range planning
3. Scholarships and financial aid
4. Alumni association
5. Legal affairs
6. Tax exemption
Superintendent of Schools District #145
College Development Council (Superintendent; Dean; College Dept. Heads; Lay Advisors)
Dean Community College
Citizens Advisory Council
Members
Committees
1. College philosophy
2. Technical-vocational education
3. Student financial assistance
4. College facilities
5. College financing
6. Master plan development
Director of Adult Education
Adult Education Advisory Committee
Director of Tech-Voc Edu.
Advisory Committees for Specific Technical Programs
Formal relationship, direct authority or responsibility
Informal relationship, recommending function provision

A third was to construct a relationship to provide an opportunity for a neutral, two-way working relationship with the volunteer lay citizens and the faculty. Lay citizens in a college community have a strong desire for some form of personal and direct contact with the faculty members of a new college in their community. This was accomplished by appointing college faculty to various committees on the advisory council and through informal conferences and study sessions involving lay citizens and the faculty.

A fourth premise, of major consideration, was to set forth a statement containing the general concepts of the advisory council and the foundation so as to capture the imagination of these outstanding community "volunteers" and to focus the wealth of wisdom and specialized skills that each possessed toward college problems. The following eight statements for each organization were devised:

Advisory Council as the Non-Material Originators:

1. Initiates ideas for college development.

2. Studies development in higher education for application to college.

3. Expands membership to gain citizen and geographical representation and to carry out committee assignments.

4. Interprets public sentiment toward the college (pulse taking).

5. Develops committees and makes appointments to carry out study and formulate proposals for problem solution.

6. Receives requests from board for information or proposes recommendation for a problem involving non-material aspects of the college.

7. Makes recommendations to the board of education which contribute to the continued enrichment, growth, and development of the college.

8. Carries out, to the best of the council's ability, implementation of board policies which are assigned to it, and which are within its organizational structure and purpose.

College Foundation as the Material Originator:

1. Initiates ideas for augmentation of facilities and educational functions of the college.

2. In concert with board acquires, manages, administers, and disposes of properties of all kinds.

3. Expands membership to gain desired representation and to carry out committee assignments.

4. Interprets economic trends and philanthropical desires of the public as related to the college.

5. Develops committees and makes appointments to carry out, study and formulate proposals for problem solution.

6. Receives requests from the board for information on proposal recommendations for problem involving material aspects of the college.

7. Makes recommendations to the board of education which contributes to augmentation of facilities and educational functions of the college.

8. Carries out, to the best of the foundation's ability, implementation of board policies which are assigned to it, and which are within the articles of incorporation and by-laws of the council.

A last point, a most vital one in any institution, was to provide information to the public about the hopes, aspirations, and the endeavors of all three organizations working in behalf of the college and as representatives for all 34,000 citizens in the school district.

A ping-pong, two-way communication network was formalized through providing news releases to radio, television, and newspapers; through special printed progress reports, and through endless personal appearances before whatever civic organizations had an available "free day" program.

The ping-pong effect occurred when full information was provided on all phases of the board-college-foundation-advisory council activities and then each group acted as a sounding board for collecting citizens' reactions. This was a most worthwhile and stimulating experience--one which paid immense rewards in terms of citizen understanding and support.

THE TRIUMVIRATE FOR ACTION

The board of education, viewed as the legal organization exercising all authority on the development of the college, initiates all formal action for changes in the college. It may delegate to other organizations the responsibility to ascertain and to recommend changes. Changes take place in the college only after the board has officially adopted a policy which reflects such desired changes, and, once adopted, delegates through the superintendent to the college dean and the faculty the task of implementation.

The advisory council, operating within its framework of stated purposes, may recommend action to be taken to bring about a desired change in the college. The recommendations go to the board of education.

The college foundation has the privilege of conducting its affairs within the legal framework of the Illinois-not-for-profit corporation provisions and then to make a formal recommendation for change to the board of education. Only after the board has officially adopted a policy statement can a recommendation be implemented by the professional personnel of the college. Some commonalities and diversities were discovered to exist with the advisory council and the foundation which may be significant to these kinds of organizations in other community junior colleges.

Commonalities:

1. Each organization has committees to carry out specific assignments.

2. Committees in each organization reflect the nature and purpose of that organization.

3. Committees in each organization may have a parallel counterpart committee in the other organization.

4. Each organization has a proposing (recommending) function to the board.

5. Each organization has a disposing function (give and go action) from the board.

6. Each organization has a public pulse-taking responsibility and the responsibility for interpreting board policies and plans, pertaining to college developments, to the public.

Diversities:

1. Committees under the council have a broader scope of operation than those of the foundation.

2. The council devotes attention to concept-level dealing with non-tangible (non-material) aspects of the total college endeavors. The foundation devotes attention to augmenting facilities and educational functions of the college (material-properties of all kinds).

3. Generally council committee studies and recommendations may precede the endeavors of paralleling committee efforts in the foundation.

4. Foundation membership expansion is internal by action on the part of its directors and members according to by-laws. Council membership expansion is by internal recommendation which requires board approval.

On the surface it may seem somewhat of an analogous situation to have three dynamic and energetic groups of lay citizens working in behalf of a new college when only one, the board of education, has legal authority for the college. In Freeport, the relationship between these three bodies is gratifying. Their efforts are productive. There is dedication to "their college." They have cooperatively developed delineation of authority, responsibility, lines of relationship, and the divisions of labor among each organization is understood and accepted.

Summary

The Freeport Community College was organized as a result of the strong desire of citizens in the school area to have a college in its midst. They expressed this desire by voting it into existence and levying taxes against themselves for its support.

During the very short period of time, since 1962, remarkable progress has been made in the development of that college. These exciting developments have occurred because of the collective and concerted efforts of many people who have organized themselves into groups, and have devoted time, talent, and the pooling of their energies toward its constructive development.

With the vivacious support and the strong continuing interest of the board of education, the advisory council, and the college foundation--all working in harmony and in concert with the understanding and support of all citizens, Freeport Community College has the unique position of progressing through the maturation process of becoming a quality two-year educational institution providing a comprehensive program to its local citizens.

Identification, clarification, and delegation of authority and responsibilities in the specific areas of concern, and dynamic two-way communication between the board, the council, the foundation, and the citizenry has facilitated the emerging Freeport Community College.

FOUNDING A JUNIOR COLLEGE FOUNDATION

By John Korf, Attorney
Freeport, Illinois

I am mindful, as was the Apostle Paul, of the words of the Lord Jesus when He said, "It is more blessed to give than to receive." Preceding panelists have represented foundations whose activities focused primarily on giving for educational purposes. They have and will continue to bestow the blessings of their charitable work upon countless students throughout the nation. It is our unique distinction to represent a foundation whose primary function is to receive such blessings and apply them for the benefit of Freeport Community College, a most particular junior college. We believe that our foundation represents a first in this field. As an idea, it came about as naturally as breathing out and breathing in. As an actuality, the saga is somewhat different.

Let me take you back an incredibly brief span of time to November, 1961, when Freeport Community College itself was but a referendum proposition on a piece of paper. The referendum had been preceded by intensive, person-to-person, informational effort in our community to demonstrate the need. It was prefaced by a citizens' petition bearing some 2,500 signatures. The referendum carried by a margin of nearly four to one and authorized the Freeport Board of Education to establish a community junior college, to be governed and carried on by the board of education as a part of the common school system.

The target date for opening the doors of Freeport Community College in the high school facilities on an after-hours basis was set for nine months later, September, 1962. The cynics said, so all right, you have your junior college, and I needn't tell you what the critics said.

As the months rolled by it became apparent that even the critics were wrong. The enthusiasm for the college was not a flash in the pan, but continued to stimulate, capture, and firmly hold the imagination and support of the community.

The signs and portents were clear. Individuals, businesses, and industries volunteered support in the form of scholarships as well as library and instructional materials.

Out of the natural, and perhaps supernatural, forces at work by early summer, 1962, there seemed to emerge on the horizon a beautiful, black cloud just looking for something to rain on or into, for the nourishment of the college. At that point the idea was born that some kind of foundation-like organization was essential, if as nothing more than a bucket to capture the essence of that cloud before it dissipated itself down the drain.

The idea that the feasibility of a foundation be investigated was first formally said out loud in a resolution of the College Advisory Council, adopted in July, 1962. The council's recommendation was transmitted to the Board of Education of the Freeport School District, since that was, and is, the body responsible for establishing and operating the college. The board of education immediately appointed a joint study committee consisting of members of its own body and of lay citizens of the College Advisory Council.

The formal result of this committee's work is a corporate charter dated November 21, 1962, issued by the State of Illinois to Freeport Community College Foundation, evidencing its existence as a nonprofit Illinois corporation. In the parlance of our times, the charter is smaller than a breadbox, can conveniently be held in one hand, and consists in substance of only two pages. About half of those two pages are taken up by fill-in blanks for listing names, addresses, and other miscellany which could have been completed in less time than it took to appoint the committee.

So what's so difficult, you may ask, about founding a foundation? To this my answer must be, nothing, really, once the governing principles have been hammered out.

This is where the four months went, between the date of the College Advisory Council's recommendation and the issuance of the charter. This was an intensive four months of committee lunches, coffee, and midnight oil. There were papers in the soup, notes and sketches on napkins and menus, and ideas everywhere. Salt shakers, knives, forks, and spoons were pressed into service to diagram structure as we defined and focused on the key question: Having in mind that the board of education is charged, as a matter of law, with the responsibility of operating the college, what should be the relationship between the board and the foundation?

Examination of available literature in both the legal and educational fields gave us no direct assistance either in the form of scholarly analysis of factors to be considered or a how-to-do-it handbook.

Accordingly, we turned to a case study examination of the corporate charters, trust indentures, and other governing instruments adopted and used by a broad variety of foundations throughout the country. The primary objective of our case study was to determine where the balance of power lies in dealing with foundation properties. In other words, which body has, or should have, control or the final say on the use of foundation assets; how tight should the control be; and how should or can it be achieved? Our initial conclusion, from a quick scanning of the case histories, was that there is no one right or best way of establishing control. To the contrary, not only the placement of control but also the means of achieving it can be adapted to the job to be done.

In the majority of cases studied, and particularly those of major college and university foundations, we found that control was placed in the university through its board of trustees or other governing body and that it ranged in degree from fairly tight to absolute. One notable and fascinating exception is the Duke Endowment. Here, contrary to the usual pattern, control is in the foundation or endowment fund trustees. At the outset, the trust indenture provided a grant of $6 million and other continuing substantial benefits for the establishment of an institution of learning to be known as Duke University, and further provided that if Trinity College should, within three months, change its name to Duke University, the benefits would go to that institution. Otherwise, the trustees of the fund were directed, in substance, to go out and found a brand-new university from scratch and to name it Duke University.

Our case study also proved enlightening on the means by which control can be achieved. Once the decision is made as to where it should be placed, the most common means appears to be what I have called director control, which exists when the organizational structure of the two bodies involved enables one of them to control the selection of the majority of the members of the governing board of the other. The clearest, simplest case is when both boards are identical. More typical is a foundation board consisting of ex-officio university officials plus other individuals elected by them or by university alumni. The other primary means of control we referred to in our analysis as built-in control. This exists when the organizational documents themselves specifically give the final say to the foundation board or the college board, as the case may be. In practice, these two means of control are, in some cases, used separately, while in others they are combined.

With this frame of reference, let's go back to the real substance of the Freeport Community College Foundation charter, and see what we did at the end of those long four months, and why we did it.

We begin with a comprehensive general statement of dedication to educational purposes, facilities, and functions in Freeport Community College. More particularly, our purpose is to acquire properties of all kinds and to manage, administer, and dispose of them for the benefit of the college and its students, with the proviso, however, that the acquisition and disposition of all such properties shall be subject to the approval and direction of the Freeport School District Board of Education, which, as emphasized before, is charged by law with the responsibility for operating the college. Thus, we have what I have termed built-in control, very thoughtfully and deliberately decided upon.

Quite simply, our thinking was that the final word as to use or application of foundation properties must be lodged with the same body responsible for operating the college, which is the board of education. In case of difference of opinion, it is the board that must be the final arbiter.

At the same time, the foundation board is accorded ample opportunity to exercise all of the imagination, ingenuity, and skill at its command in aid of the primary purpose for which it was established. Some of the means by which the hopes and aspirations of the foundation can be carried out are sketched in bold strokes, such as fund-raising by means of campaign; loan, gift, grant, and bequest for a broad variety of purposes, including research and instruction, establishment of endowments, scholarships, fellowships, professorships, and academic chairs, and, of course, for buildings, equipment, and other facilities of all kinds. Suggested also is the securing of gifts or loans of property, works of art, historical papers, and documents having educational, artistic, literary or cultural value, and finally, to act in the capacity of a fiduciary or trustee in carrying out these purposes and objectives.

The remaining provisions of our charter have a double-barreled aspect. They look to the future, recognize that the essence of history is change, and confirm with particularity the basic premise that, come what may, foundation assets shall be used exclusively for educational purposes. Thus, provision is made for an orderly and effective succession of events whenever Freeport Community College, as we now know it, evolved into an area junior college, divorced from the present Freeport School Board and having its own separate governing body. The master plan for higher education in Illinois now simmering on the legislature's back burner will, we hope, make this significant evolution possible much sooner than had been anticipated at the time the charter was drawn.

The selfsame provisions enable us to meet and comply with the web of conditions for tax exemption, imposed by the Internal Revenue Code. Yes, thank you, our foundation has its determination letter holding that we are exempt from payment of federal income tax and that contributions are deductible for gift and estate tax purposes.

In closing, I want to introduce to you, at least by attributes, the Board of Directors of Freeport Community College Foundation. At present, they are twelve in number, having been expanded under flexible provisions of the bylaws from an original nine. Under the bylaws, the superintendent of schools and the college dean are ex-officio members of the board of directors. The present superintendent and the first college dean are on view here today and you will judge their capabilities for yourselves. Next, the bylaws empower the board of education to nominate from its own members candidates to fill two more directorships. At present, the president of the board of education and I occupy these positions. Director control of the foundation by the board of education, of course, does not result, either in theory or in fact, nor was it intended to. What does result is a direct, effective means of communication and coordination of efforts between the board of education and the foundation.

The remaining members of the foundation board are lay persons, elected at large from the community. The president, I think, was born as an effective and skilled missionary for civic betterment. His predecessor, because of his meteoric rise as an insurance executive, was stolen from Freeport, sometimes called the Hartford of the West, by an operator from Hartford of the East. The vice-president is a noted author of children's books, dedicated for many years gone by to the junior college idea, a bear cat on scholarships and student assistance. Our treasurer is a former bank president, retired, a vigorous 65, a pillar of integrity and respect in the community. His assistant is a younger, vigorous business executive, and, incidentally, a bank director. Rounding out the slate of lay citizens are a circuit judge, formerly a member of the legislature, and a long-time active friend of education; a career government employee, having a remarkably astute knowledge of the rural area; and a preeminently successful, astute business executive.

There, you have it--the skeletal structure of the foundation, and the individuals who make the structure a living reality.

I yield with pleasure to President Hargett and Superintendent Ponitz, who will give you some insights into the foundation in action and the degree of success achieved in meeting its goals.

ESTABLISHING A LOCAL COMMUNITY COLLEGE FOUNDATION

By David H. Ponitz, Superintendent
Freeport School District No. 145
Freeport, Illinois

For the past two days it has been my privilege to listen to a number of persons discuss foundations from a national point of view. The portion of the program dedicated to the activities of the Freeport Community College Foundation reverses this process a bit, for we are a local group who, to date, have received funds from local sources only.

We certainly do not discount gifts from the national foundation, but we do believe that Freeport and most other communities have vast local resources that can be tapped--perhaps more easily than resources from national groups.

The Foundation and Your Community

My thesis today, then, is that the time may be ripe to initiate a community college foundation in your own community which will encourage local resources to be funneled into your college operation. In less than three years the Freeport Community College Foundation has obtained over one-half million dollars in various types of grants and bequests. What has happened in Freeport need not be a unique situation, for there are a number of compelling factors which encourage the organization of the community college foundation at this time. These factors are compelling not only to educators, but to the total community that the junior college serves.

Education - A New Status

In a recent discussion of education, the New York Times Sunday supplement, said that "greatness has been thrust upon American education... Everybody has proclaimed that schools and colleges must provide the solution to most of the nation's domestic problems."

More than ever before people appreciate what education can do for individuals, family and the total community. In the coming years, it will be the community college movement that will best meet this challenge of the times.

The community college, with a comprehensive type of program--transfer, occupational, general education, technical, vocational, and adult education courses--meets the needs of great numbers of persons. Not only does it meet these needs, but a college close to home is in a position where a great number of people see, understand, and appreciate its value. Therefore, the community college has a tremendous public relations potential among all individuals--not just a select group.

Parental Concern

A recent issue of the U. S. News and World Report commented on a national meeting of college registrars which reported that high school graduates competing for college are told that the admissions picture has never been so bleak as it is today. Colleges across the country are turning away highly qualified students. It is estimated for example that 100,000 qualified students will be turned away from colleges during the coming calendar year. The question then is not to choose a college but to find a place that will accept you. Coupled with the fact that it is difficult to get into college is the equally compelling fact that college has become increasingly expensive. Tuition rates have gone up from 5 to 20 per cent in the past several years. The community college has accepted this challenge for comprehensive good teaching for many, many students. Some are brillant, some average, and still others are able to profit from vocational-type short courses. Because of this approach many people are willing to help the community college in its continuing development.

A Unique Partnership

In our own community local business continually asks the college to offer a variety of courses. These include technical, vocational, business, and general education courses. A number of industries and the college have recently completed a study to determine the number of technicians that the community will need during the coming decade. Long-range planning of this type will allow the community college to prepare highly qualified individuals to meet these technical needs. Traditionally, industry has been interested in helping colleges as a gesture of goodwill. Today more and more industries recognize that the community college may provide a substantial amount of the life-blood of their operation by educating new and experienced personnel. The community college helps industry retain its competitive and prosperous status. For these reasons industries are recognizing the importance of providing adequate financial support for community colleges in areas where their plants are located.

A Thrilling Experience

Equally compelling as a factor to encourage both individuals and industries to give to a community foundation is the fact that people like to be involved with projects that are new, dynamic, and smack of greatness. It is not every day that a person has the opportunity to be involved in the development of a college institution with new programs, new construction, and new promise. It is fun, exciting, and important--all appealing attributes.

Hopefully, we have made these points. There are a number of national, state, and local educational phenomena which encourage real interest in the community college from many sources. As greater numbers of businesses, industries, and individual citizens appreciate the academic, cultural, and business contributions that the community college can make, it becomes possible to translate this interest into meaningful financial support. During the past few years this financial support has been most substantial.

What the Foundation Can Do

A college foundation can raise funds by campaign or other appropriate means including gifts, grants, and bequests. In addition, it can receive funds for property, for research and instruction, establish endowments, scholarships, fellowships, professorships, and academic chairs. It can receive grants for buildings, equipment, and all other facilities of the college.

One of the items often forgotten about a community college foundation is that it can accept works of art, historical papers, and documents, museum specimens having educational, artistic, historical, literary or cultural value. In short, the activities of a community college foundation are only limited by the creativity, imagination, and ingenuity of the people that serve on the foundation.

Let's Look at the Accomplishments

So that we might further understand the types of activities that a community college can enter into I would offer as examples some of the activities that the Freeport Community College Foundation has administered during the past few years. They are as follows:

1. Received funds from a number of industries for purchase of scientific equipment.

2. Obtained an analogue computer which is in excellent condition but which is no longer needed by a local business.

3. Accepted non-earmarked gifts from a community college booster campaign to begin operation of the foundation.

4. Purchased technical books from industry support. In turn, the foundation provided the contributing industry with library cards so the company can use the college books for appropriate research.

5. Provided a scholarship fund donated by individuals and organizations in the college service area.

6. Received notification of an endowment to establish an academic chair of music.

7. Received notification of trust funds to be established for student scholarships.

8. Accepted a $20,000 gift for planning the construction of a new college campus.

9. Raised funds for the purchase of 210 acres of land for a new college campus through a subscription campaign.

Acres for Education Campaign

Perhaps one of the unique activities of the community college foundation was to purchase 210 acres of land needed for a new college campus. This was unique since Freeport Community College is a public institution but received all monies for this purchase from private sources. Many persons from the College Foundation, the Citizens' Advisory Council, and the Board of Education spoke to numbers of individuals and groups telling them about the promise and potential of the community college.

Unlike many campaigns, we did not wish extremely large donors. Instead we wished to involve a number of people in the college program. In a two-month campaign, over 1,000 people donated $150,000 for a community college campus. That different organizations, and people from all parts of the community donated to the community college cause reinforces the fact that the activities of a community college lead many people to recognize the college and in turn support it with dollars. We would further emphasize that we did not solicit industry for this campaign. This was primarily an involvement of individual citizens. In time we anticipate industry involvement in a college building program.

Personnel of the Foundation

I am sure each of you recognizes that the things which we have talked about do not just happen. They are made to happen. In the case of Freeport Community College Foundation a number of select, prominent individuals of the community served on the foundation. Freeport has substantial amounts of industry, insurance, and farming, and the foundation has a representative cross-section of the community since prominent individuals from each of these areas serve. The group meets monthly to handle official business and individuals work daily to build goodwill and encourage future gifts for the college.

People to People Contacts

The activities of the foundation include a wide variety of contacts. As might be expected they have developed a very close working relationship with attorneys, trust officers, and public accountants. In addition we try to interest local people with substantial amounts of money, who might be willing to give funds for the college.

Business and industrial leaders recognize what a community college can do for their own organizations. We continually stay in contact with them, telling them about the college, but more important asking them what the college can do to help improve business and industry. We anticipate that this type of working relationship will funnel a variety of funds to the college to improve our educational facilities.

Unlike some foundations which work quietly and do not publicize their activities, the Freeport Community College Foundation takes many opportunities to inform the people in our area about the college and the foundation. This includes publicity by radio, newspaper, television as well as person-to-person information. After three years of working with individuals and telling them about the foundation, we find that many individuals are quite well-informed about the college and the foundation. This attitude opens many doors for further exploration of fund giving.

Conclusion

Miracles do happen. They happen when a community has dreams and visions of a better community college--and is determined to do something about it. Our exciting and exhilarating activities during the past three years have convinced us that many individuals in a community will actively give financial support to a community college foundation. This support will help our college develop at a higher plateau of quality than ever before. Our success suggests that the time is indeed ripe to enlarge the community college foundation concept to many more community colleges throughout the country.

UNINVITED BILLIONS AND THE JUNIOR COLLEGE

By G. A. Brakeley, Jr., President
G. A. Brakeley & Company, Incorporated

A choice comment reflects the spirit of my message to you this afternoon; in substance it is simply this:

> The money is here in abundance, but fund raising success still stems from the old, natural virtues of building a persuasive case for support, attracting dedicated leadership and cultivating the sympathetic response of prospects.

How do the junior colleges measure up?

First, let me say that the focus of my comments relates to the private and independent junior colleges, of which, as you know, there are some 280 enrolling about 100,000 young men and women. This group represents a big one-third of the total number of institutions but only about one-tenth of the total junior college enrollment.

Obviously, we concentrate here because this appears to be the area wherein philanthropy can be of greatest and most immediate help and where there is the most experience. However, this does not exclude the fund raising potential of the public community colleges.

The latter are a special breed unto themselves. Their fund raising techniques and opportunities are unique. Time does not permit me to delve into this aspect of your membership. However, much of what I have to say concerning the private institutions is relevant to the community colleges as well.

What about the uninvited billions? I'll get to that, but what is far more important is to know how to reach the end of the rainbow.

In our exploratory interviews with presidents or top administrative officers of some twenty junior colleges--and this speech is to an important extent a consensus of those interviews--from California to New Hampshire, I am forced to conclude that a more heterogeneous group of institutions would be difficult to assemble. Nevertheless, there are some common denominators shared by most private junior colleges which can be sorted out for analysis and comments. I have treated these common denominators under three headings: case, leadership, and fields of support.

The Case For Support

This is a phrase most of you have heard before. It's an old standby in fund raising terminology and is roughly synonymous with "raison d'etre," rationale, the collective reasons why an institution needs money. At the Brakeley Company we put great stress on this dimension of fund raising. From our experience, we know that a good institution is capable of becoming a much better institution internally as a result of the arduous process of self-examination and appraisal that comes of developing and articulating its case for support.

We do all in our power to prod the conscience or goad the leadership and administrative staff into presenting the institution in the most forward-looking, advanced posture that it can possibly assume; it should demonstrate its fundamental aim, purpose, and the educational goal to which it aspires.

Ideally, a sound case meets these criteria:

1. It is broad in scope, timely, and commensurate with an existing community need.

2. It represents a true picture of what the institution really plans to do.

3. The objectives cited are potentially capable of attainment (to a reasonable degree at least) by the institution concerned.

4. It emphasizes program, curriculum, educational direction as primary. Building, equipment, endowment, etc., are treated as the instruments of attainment.

The case is the institution's way of asserting its identity and proclaiming its integrity. It therefore defines the institution as uniquely as possible.

Because the case is the cue to motivating action, it must be understood and accepted by all parts of the institution. Developing a strong case for support should not be confused with mere verbal gymnastics. It demands sharp appraisal of performance, assessment of need, and the courage and imagination to step out and do something better than someone else.

On my desk there is an axiom printed in bold type that I often ponder before settling down to work. It shows a sketch of the Wright Brothers' first biplane and the caption reads: "It won't fly, Orville...."

I must confess that we are "bears" on this business of developing a sound case. I can think of one particular instance in which the whole strategy of fund raising shifted as a result of a genuine effort to build a better case. In the situation that I have in mind, we had just completed a study (a fund raising survey, as it is frequently called) for a hospital. In the study report we pointed out weaknesses in the story of need (case) that the hospital had been publicizing and indicated that the community's leaders were found to be indifferent if not critical of the hospital's objectives. In addition to pointing this out, we made a number of specific recommendations as to how the case could be strengthened, developed, and recast to capture the imagination of the community that the hospital had so faithfully served for one hundred years.

Believe me, the inner group took our findings to heart. Almost immediately a task force, made up of doctors, administrative officers, and trustees, was formed to examine the entire question and reconstitute a program that had far greater significance, relevance and special appeal to those being asked to give their money.

In the course of events, fund raising plans were postponed. In addition to our acting as fund raising advisors, medical consultants and other specialists were called in. New ideas on how to treat more people more efficiently for less money began to pop out like wildfire.

In the ensuing six months, enthusiasm reached a remarkable peak and was sustained throughout the subsequent planning period. The results: a core group of wealthy trustees, a few local corporations whose top executives were represented on the board, and one foundation that came forth with enough money so that an intensive, professionally-managed public campaign was not warranted. The battle was nearly won from the beginning and we simply maintained a consulting relationship until the balance of the private funds was subscribed. I might add, the new "depth" case put the institution in line for more government support which further reduced the need for private financing.

The point is this: an institution simply must reach for its highest potential. It must believe in itself and its ability to accomplish high purpose. And, above all, it must communicate this confidence to others.

The consensus of our interviews and research on the junior colleges indicates certain significant weaknesses (and subtle strengths) in the case for junior colleges. The overriding weaknesses indicated to us can be summarized as follows:

These colleges must establish their academic position in the field of education more precisely, not merely as "feeders" for four-year colleges, or vocational technicians, but as independent education entities doing a tremendously important job of education in an area for which they are pre-eminently qualified.

The tendency of some junior colleges to ape and imitate the four-year college is considered a general weakness and certainly a fund raising weakness.

The junior college ideal of education must become better established in the public mind. Each junior college must make up its mind as to what it wants and intends to be and then firmly establish that image in the minds of its particular clientele.

The evolution of a junior college either as an extension of the high school or a buffer between school and "real" college, is apt to create a confused, somewhat ambiguous public image with some lingering overtones that it may be also "junior" in status. This kind of impression has probably done more damage within these institutions than anywhere else. Public opinion can be changed. But, if the institution itself harbors inner feelings akin to an inferiority complex, an invisible roadblock stands in the way of progress.

Regarding the case, we submit the following prescription: The junior college is no longer a hybrid. Now, one in four beginning college students in the United States begins in a junior college. Half of all the new colleges established in this country last year were of the two-year type. Enrollment at four-year institutions has nearly doubled during the past decade. That of the junior colleges has quadrupled.

A publication of the Carnegie Corporation has this to say: "The emergence of the junior college is possibly the most important development in American higher education in the past quarter century."

The junior college must define itself on its own terms--on the basis of its true uniqueness and role in this complex technological society of ours. The time has come to accept the universal opportunity of education beyond high school as the birthright of every high school graduate. The junior colleges must bend their efforts to the advancement of each student to the maximum of his capacity.

It is often stated that the most serious problem we will face in this country over the next twenty-five years is a need for trained manpower. We are told that the nation needs urgently to develop all of its human resources and that education has this basic responsibility. In a similar vein, former Harvard president James Bryant Conant is quoted as saying, "A modern industrial nation needs more than a few brains; it has to uplift the talent at every level. It cannot afford technological unemployables--spiritually, politically, or economically."

There is an equally important corollary. If the perpetuation of our society requires people of learning, it is equally true someone must teach them--not by remote control via graduate students or closed-circuit television but an honest-to-goodness imparting of knowledge on a person-to-person basis.

You are all painfully familiar with the events at Berkeley. While the "student strike," so called, received wide publicity, many similar instances occurred on other campuses. Why? The experts tell us that college life today is more impersonal and competitive, less humane. It is harder for the student to know his professors, the administration, or even his all-too-numerous fellow students. Learning is increasingly packaged and is sometimes referred to as the "knowledge business." Professors are less attached to institutions where they teach and more to their particular disciplines. And they have less time to give the student or the college.

A student letter appearing in a four-year college newspaper captures the spirit poignantly: "....one of the reasons that administration and much of the faculty alike draw grotesque descriptions of students is that they probably have never talked with one, not that they'd listen if they did. For years the same situations occur, the same opinions are given, the same pleas are voiced, and the same nothing happens."

A return to teaching--honest teaching, quality teaching--is your cue. In my opinion, this is the strongest foundation upon which to build status, uniqueness, and a new, winning public image.

Leadership

I have given heavy emphasis to the case for financial support. For junior colleges this is the overall groundwork out of which other important fund-raising dimensions will inevitably grow. The fundamentals of fund raising are intimately inter-related; a sound case begets good leadership which, in turn, attracts better prospects, and finally financial support.

Our examination of junior colleges points up some general deficiencies with regard to leadership. These are the facts as presented to us:

1. The boards of most of the colleges are relatively small and by one means or another tend to be self-perpetuating.

2. Except in cases where colleges have been through or are undergoing major fund raising, the boards are, for the most part, management oriented. That is to say, they tend to think of the institution as a business proposition and run it accordingly.

3. By and large, board members do not include individuals of great stature or represent areas of real wealth.

4. President after president stated he had good men on his board, but too few understood the development function or the board's responsibility to fund raising.

In a practical sense, strengthening of the junior colleges for fund raising ultimately begins with inspired leadership--whether it's a president, the faculty, or a group of trustees. Somewhere, someone must grab hold, care enough to spark the development of a good case and gradually attract other leaders.

More than any other factor, leadership can make or break the fund raising process, whether annual or capital, large or small, or even if the institution is publicly or privately oriented.

Fields of Support

By and large, the financial support given private junior colleges is spotty, to say the least. Probably the older, established women's colleges do the best because of the success of their alumnae appeals. Otherwise, our inquiry discloses that the fund raising techniques most often employed by junior colleges can be described as "catch-as-catch-can."

Some of the reasons for this have already been suggested or implied:

1. In general, the case for the junior college has not been fully developed.

2. The alumni body of most institutions is young, not affluent, nor is it represented by large numbers.

3. The influence of most junior colleges is confined to the local setting.

4. The leadership of junior colleges is often pedestrian and relatively unsophisticated regarding fund raising matters.

5. By and large, the apparatus of fund raising is conspicuously absent.

6. As a rule, funds are not formally allocated for development activities.

7. The government has been slow to offer grant opportunities for these private institutions--although we understand that 22 per cent of the budget ($100 million) of the Educational Facilities Act is slated for junior colleges, and this may be increased. (Of course, the government has provided normal assistance by way of scholarships, student loans, construction loans, etc.)

8. Corporations have done next to nothing for junior colleges, except for those that have a strong technical orientation and thus can demonstrate a "quid pro quo" relationship. There has been some tendency to give "gifts in kind" such as equipment, materials, the loan of space.

9. National foundations have made spot grants to certain institutions and usually for specific projects. $100,000 a year is a rough gauge of

their participation overall. Family foundations, on the other hand, have, on the whole, shown a more liberal attitude, but there are personal factors involved usually.

10. Alumni support has been good with the established institutions that have made a concerted effort to build alumni loyalty and cultivate better giving habits. Other than this, alumni support is infinitesimal.

This is a broad analysis of the picture as we see it now. Let me try to piece all of this together and offer you the best advice that I can.

The money is unquestionably available in full measure: "The Uninvited Billions," so called. Last year Americans gave away eleven billion dollars and that's just the beginning. As you, and others like you, learn to assert yourselves with greater clarity and sense of purpose (the case)--as you draw prestigious leaders to your fold--as you pinpoint your needs and cultivate the interest of your alumni and constituent groups--the funds will be waiting....provided you don't wait too long.

Listen to this! Americans will report about $350 billion income this year, which, if the full 30 per cent charitable deduction were exercised, would result in contributions of over $100 billion. But--half the taxpayers will ignore the government's offer completely by taking the standard deduction. Those who do exercise any part of their option will report contributions of $8.5 billion, or 4 per cent of their income. The remaining 26 per cent of tax credits will remain unexercised.

Similarly, corporations contribute only a little more than 1 per cent of the allowable 5 per cent deduction. Their contribution totals about $500 million with unexercised options of nearly $2 billion.

In short, taxpayers in all categories will pass up some 91.5 per cent of the dollar value of these proffered bargains in philanthropy.

So, you see, the billions for philanthropy are there for the asking, but few know how to ask the right way.

Institutional development is a necessity for the nonprofit institution. It is especially so for the private junior colleges which face a dazzling educational future provided they prepare for that future. Haphazard, impulsive planning will result in disappointment and, in some cases, disaster. For junior colleges, their future is already here and the time is late.

I'm not going to pursue the matter any further lest I am accused of beating the drum. The fact remains, however, that many of the colleges we visited were in dire need of sound professional guidance. I hope they get it.

We believe this is a matter for the pros--whether as firms or as individuals. We have observed too many cases where junior colleges are floundering, insecure, and confused when it comes to projecting their virtues and aiming high enough to draw the attention of those who can help the most.

Professional counsel is expensive, but these days it is also flexible in services and in fees.

The planned development program utilizing professional counseling can cost a very modest sum, but its catalytic effect in producing results more often than not justifies the cost many times over.

I would like to restate some homespun truths of fund raising that I hope you will take very seriously:

1. Until someone asks for something, nothing happens.

2. Don't settle for anything less than top leadership.

3. In philanthropy, nothing succeeds like success.

4. Face the fact that it costs money to raise money.

5. Tell your story in the terms of the prospect's interest.

6. Fund raising has high peaks and low troughs. Try not to become disheartened when things lag. Stick to your guns.

7. Learn to use your fund raising muscles even if you find it hard going at first; it's amazing how quickly people learn.

8. Enthusiasm and the will to win are still very much in style.